	Quality Section Procedures
🟦 Fermilab	

Procedure Number/Name		**Original Date:**
Fermilab Quality Tool Suite User Guide		

Written by:	**Reviewed and Updated By:**	**Date:**
Mary Curtis	Jemila Adetunji	23 March 2021

Revision History

Author	Description of Change	Revision Date
Mary Curtis	Update the User Guide to reflect the recent changes made to the database.	23 March 2021
Mary Curtis	Update iTrack guide to reflect changes to iTrack database and introduce the Fermilab Quality Tool Suite.	22 May 2020

☘ Fermilab	**Quality Section Procedures**	
Procedure Number/Name Fermilab Quality Tool Suite User Guide		**Original Date:**
Written by: Mary Curtis	**Reviewed/Updated By:** Jemila Adetunji	**Date:** 23 March 2021

Table of Contents

1.0   PURPOSE

The purpose of this guide is to provide detailed instructions on the use of Fermilab Quality Tool Suite.

2.0   MATERIALS/PRE-REQUISITES NEEDED

1. A valid Fermilab 5-digit ID – This includes employees, visitors, and contractors.
2. Data entry rights – obtain from the Quality Section.
3. Fermilab Services User name and Password.

3.0   REFERENCES

Quality Assurance Manual (QAM) Chapter 12030 – Fermilab Quality Tool Suite Procedures & Risk Assignment

\text{❄❄ Fermilab}	Quality Section Procedures	
Procedure Number/Name Fermilab Quality Tool Suite User Guide		**Original Date:**
Written by: Mary Curtis	**Reviewed/Updated By:** Jemila Adetunji	**Date:** 23 March 2021

4.0   DEFINITIONS

See Technical Appendix for terms and definitions.

5.0   RESPONSIBILITIES

5.1   Quality Section Head

- Take ownership of and manage the Fermilab Quality Tool Suite; and provide training for its use.

5.2   Data Entry User (iTrack and Lessons Learned Databases)

- Accurately enter information into Fermilab Quality Tool Suite databases (iTrack and Lessons Learned).

5.3   Responsible Parties (iTrack and Lessons Learned)

- Address assigned items in iTrack or Lessons Learned database appropriately. Provide detailed information of actions taken or decisions made, and evidence where applicable.
- Complete effectiveness reviews for all times when required.

6.0   DETAILED PROCEDURE

Fermilab Quality Tool Suite (FQTS) is a collection of three databases managed by the Quality Section: iTrack for issues management; Lessons Learned for collecting lessons learned information from external and internal sources; and the Fermilab Assessment Schedule for tracking internal assessments. This *Fermilab Quality Tool Suite User Guide* provides instructions for using and searching the iTrack and Lessons Learned databases. The Assessment Schedule database is available as a resource; data entry or changes to it are limited to Quality Section members.

6.1   Accessing Fermilab Quality Tool Suite

Access Fermilab Quality Tool Suite through [Quality Section homepage](#) (Figure 1).

Figure 1 Quality Section Homepage – Access Fermilab Quality Tool Suite

Use the QS homepage to access Fermilab Quality Tool Suite. Click on any of the 3 references to iTrack.

FQTS will open to the "My iTrack Items" page, with a table listing all <u>open</u> iTrack items assigned to you or assigned to you as a proxy. (Figure 2) Change the display to show <u>all</u> items assigned to you (open and closed) by changing the "Status" drop-down field at the top of the page.

Figure 2 Fermilab Quality Tool Suite Homepage – My iTrack Items
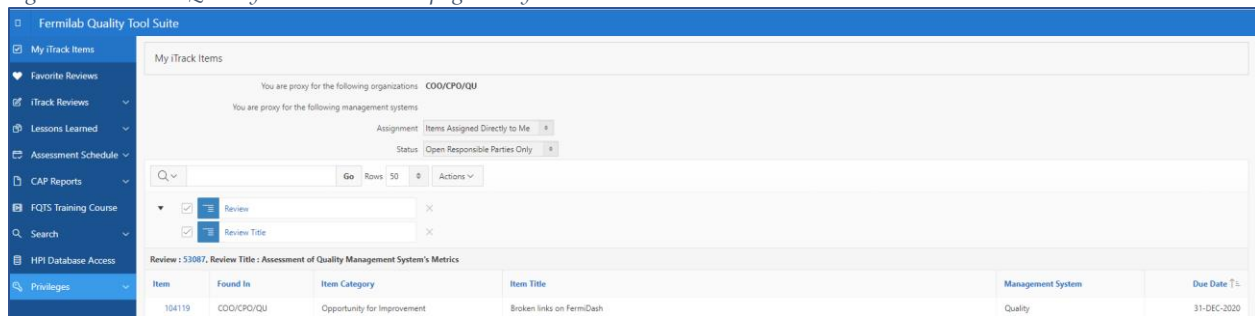
Use the Navigation bar on the left to access and search the different databases. The Navigation bar remains the same on every page of the FQTS.

- *My iTrack Items – A list of those items you are responsible for.*
- *Favorite Reviews – A place to maintain your bookmarked Reviews.*
- *iTrack Reviews* – Access to iTrack database.
- *Lessons Learned* – Access to Lessons Learned database.
- *Assessment Schedule* – Access to the Fermilab Assessment Schedule, the Tripartite Schedule, and links to templates and resources.
- *CAP Reports* – access to effectiveness reviews and verification reviews.
- *FQTS Training Course* – link to the FQTS Training course.
- *Search* –Several ways to search iTrack.
- *HPI Database Access* – Access to HPI results and information.

6.2   Data Entry Process – iTrack

6.2.1   Create a Review in iTrack

To create a Review in iTrack, open the iTrack Reviews database (from the Navigation bar) and click on Create a Review at the upper right (Figure 3).
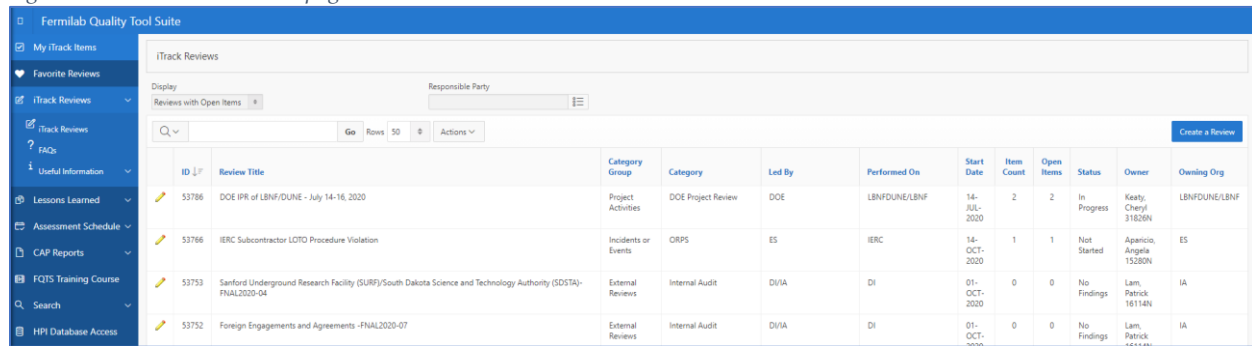
| **Procedure Number/Name** Fermilab Quality Tool Suite User Guide | **Original Date:** |
| **Written by:** Mary Curtis | **Reviewed/Updated By:** Jemila Adetunji | **Date:** 23 March 2021 |

Figure 3 iTrack Reviews Homepage

Figure 4 will open; follow the steps to complete the Review page.

Figure 4 Create a Review page

Enter all required information (marked with an *).
Two exceptions: Only one "Led by" entry is required. Only one "Performed On" entry is required.

Steps to Create a Review (Figure 4)
1. **Category Group** – Select the high-level category group from the drop-down list. (Your choice will populate "**Category***" entry with sub-category options.)
2. **Category*** – Select the appropriate sub-category from list.
3. **Title*** – Enter a descriptive title of the Review.
   *Only one of the next two entries is required. ***
4. **Led By** – Select the Organization from the drop-down list that led the Review.
5. **Led By or Commissioned by MS** – Select the MS that led or requested the Review.
   *Only one of the next three entries is required. ***
6. **Performed on** – Select the Organization reviewed from the drop-down list.
7. **Performed on MS** – Select the Management System reviewed from the list.
8. **Project/Experiment** – Select the one reviewed from the drop-down list.
9. **Start Date*** – Enter the date the Review started.
10. **End Date*** – Enter the date the Review ended.
11. **Description*** – Enter a description of the Review.
12. **Owner*** – This will auto populate with the Review creator's name but may be changed to any Fermilab employee.
13. **Owning Organization*** – This will auto populate with the original Owner's organization but may be changed to any Fermilab organization.
14. Click Create.

After clicking "Create," Figure 5 will display, with the green ✓ Action Processed box confirming the Review was created. From this page, you may edit the information or enter more details.
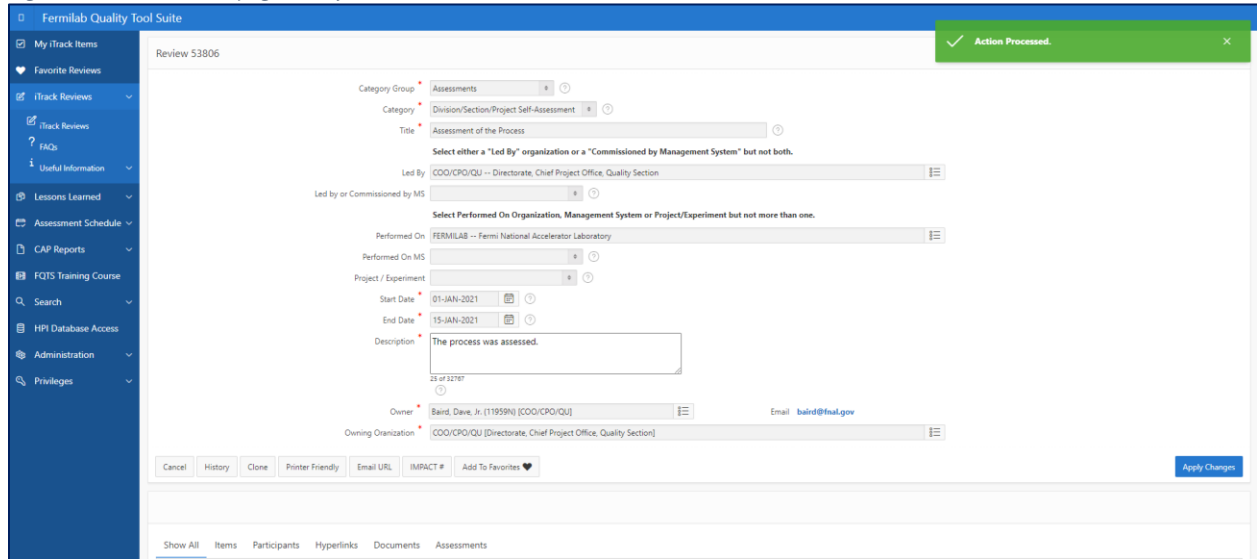
Figure 5 iTrack Review page – confirmation

Click Apply Changes to save changes to the record.

To add information to the Review, use the row of buttons or row of tabs at the lower left.

Row of Buttons

Cancel	Return to the main Review page.
History	A log of the changes to the current page.
Clone	Create a new Record by copying some of the current record.
Printer Friendly	Provides a printer-friendly copy of the current record.
Email URL	Provides a way to directly email the record.
IMPACT #	Links to the Integrated Management Planning and Control Tool.
Add to Favorites ❤	Provides a way to directly bookmark the Review record.

Row of Tabs

Show All	Displays access to the other four tabs.
Items	Provides the way to create an item for this Review.
Participants	Provides the way to add a participant for this Review.
Hyperlinks	Provides the way to add a hyperlink for this Review.
Documents	Provides the way to upload supporting documents for this Review.
Assessments	Provides a way to link this Review to an existing Assessment.

<u>Steps to add **Participants** (Figures 6a and 6b)</u>

*A Participant is **member of the Review team**.*

From Figure 5, click on **Participants** tab and then Create Participant; Figure 6a will open.
1. **Participant** * – Search and select the Participant's names from the dialog box.
2. **Organization*** – Select the Participant's organization.
3. Click Create. (Figure 6b shows confirmation.)

Repeat steps to add more Participants.
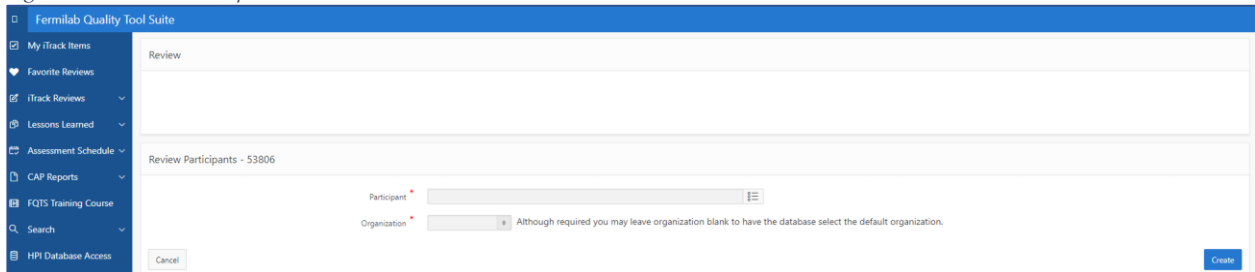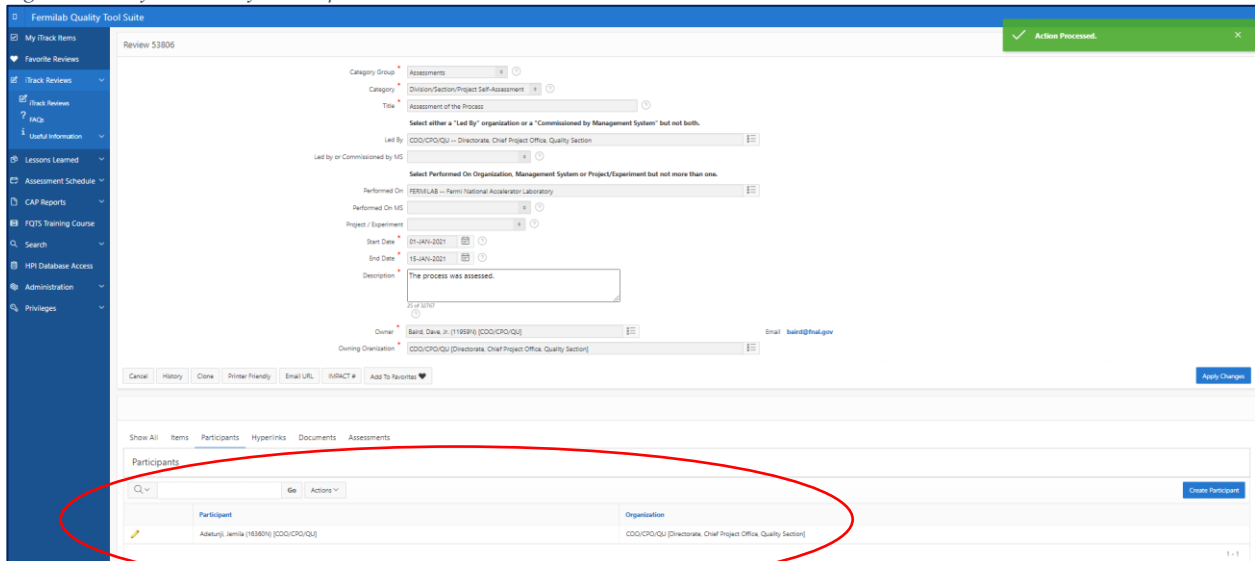
Figure 6a Create Participant

Figure 6b Confirmation of Participant Creation

<u>Steps to Create a **Hyperlink** (Figures 7a and 7b)</u>

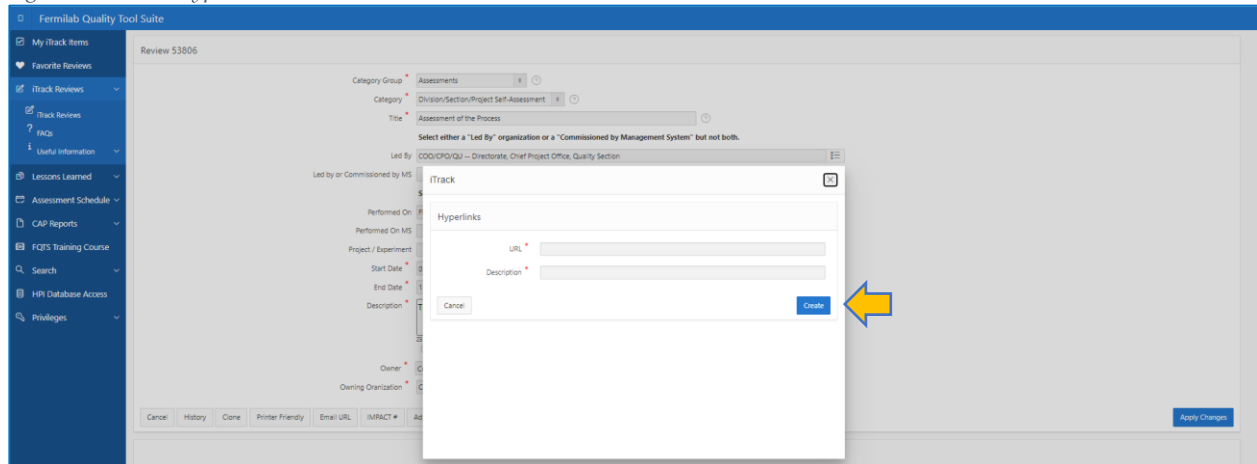Click on the **Hyperlinks** tab and then Create Hyperlink. Figure 7a will open.
1. **URL*** – Enter link address, including http:// or https://.

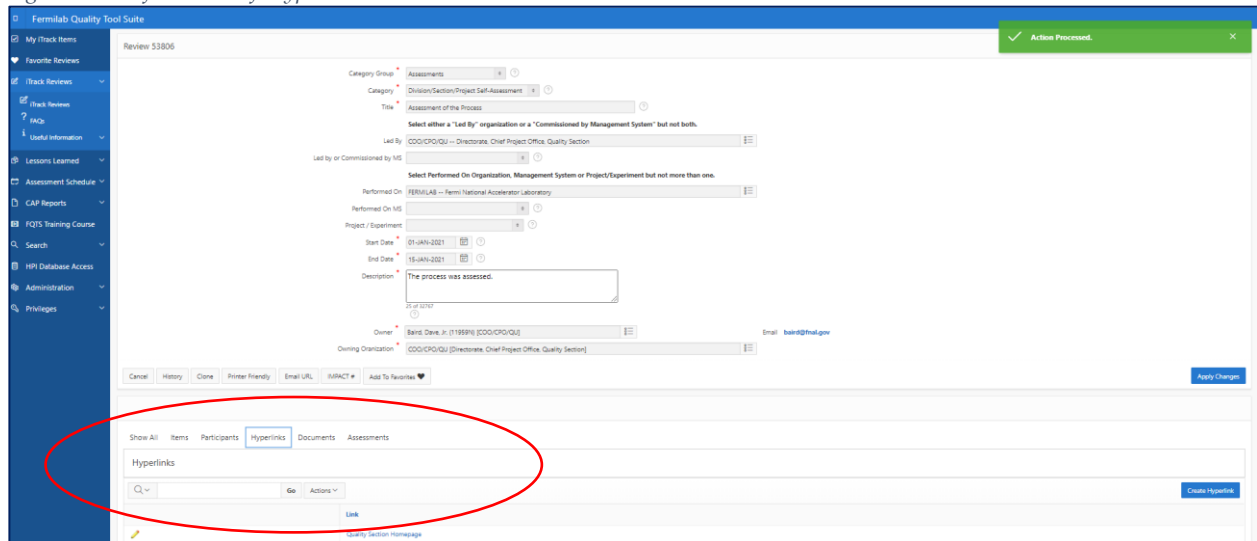2. **Description** * – Enter a description of the URL's record.
3. Click Create.

Repeat steps for each Hyperlink.

Figure 7a Create Hyperlinks

Figure 7b Confirmation of Hyperlink Addition

☢ **Fermilab**	**Quality Section Procedures**

Procedure Number/Name Fermilab Quality Tool Suite User Guide		**Original Date:**
Written by: Mary Curtis	**Reviewed/Updated By:** Jemila Adetunji	**Date:** 23 March 2021

Steps to Add a **Document** (Figure 8)

Click on the Documents tab and then Upload Document. Figure 8 will open.
1. **Content*** – Click on the field and you will be directed to files on your computer. Locate the file and click enter.
2. **Comments*** – Enter a description of the document uploaded.
3. Click Create.
   Repeat steps for each Document.

Figure 8 Upload a Document to a Review
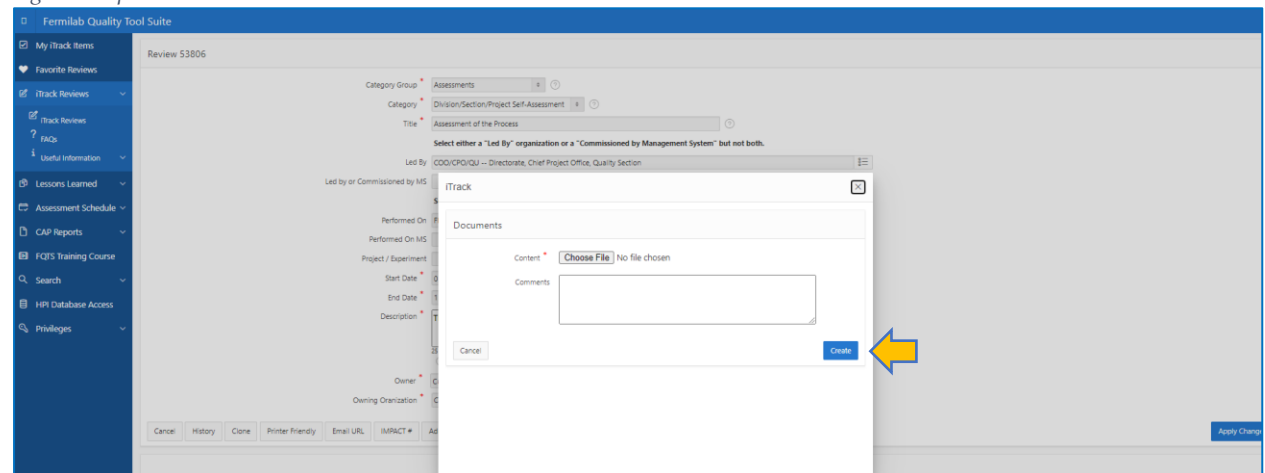
Confirmation of the Document upload will be the same as the hyperlink upload and participant addition confirmations (Figures 6b and 7b).

Steps to Link an **Assessment** (Figure 9)

Click on the Assessments tab and then Link Assessment. Figure 9 will open.
1. **Assessment Plan*** – Click on the field and search for the Assessment record to link to this Review.
2. Click Create.
   Repeat steps for each Assessment.

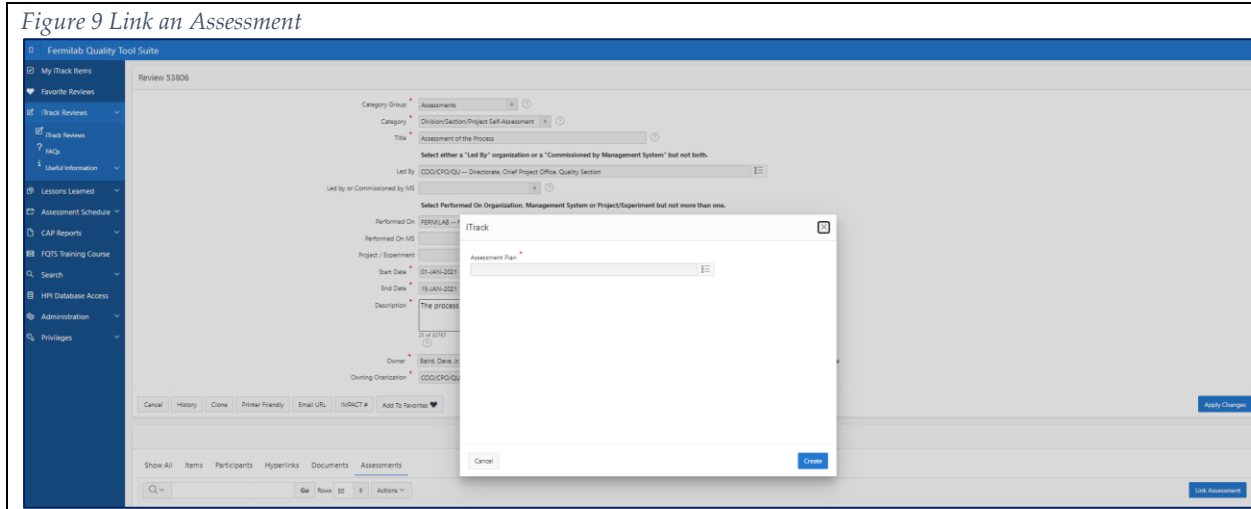*Figure 9 Link an Assessment*

6.2.2   Add an Item to a Review

An Item is the result of a Review. Item types are: *Best Practice, Lessons Learned, Management Concern, Nonconformance, Opportunity for Improvement, and Recommendation*. Figure 10a describes the steps to create a *Nonconformance*; the steps to create a *Management Concern, OFI,* or *Recommendation* are the same.

See Figures 18a&b and 19a&b for details on how to create *Best Practice and Lessons Learned*.

Steps to Create an **Item** (Figure 10a&b)

Click on the **Items** tab and then Create Item button. Figure 10a will open.

Note the breadcrumb at the top of the page provides information about the Review.
1. **Item Title*** – Descriptive title of the Item or the number assigned to the Item from a DOE assessment.
2. **Item Type*** – Select from the dialog box. Item types are:
   a. **Best Practice** – A positive example of a work process or innovative approach with the potential to be the basis for significant operational improvements or cost savings.
   b. **Lessons Learned** – A best practice that is captured and shared to promote repeat application, or an adverse work practice or experience that is captured and shared to prevent recurrence.

   c. **Management Concern** – An issue management has identified that requires action to mitigate associated risk. Requires performance of a risk analysis, identification of a root cause, and identification of corrective or preventive actions.

   d. **Nonconformance** – The nonfulfillment of a specified requirement. A nonconformance can be found in a service, product, process, from a supplier, policy, or system. The specified requirements can be identified from a regulatory body or internal policy or procedure. Requires performance of a risk analysis, identification of a root cause, and identification of corrective or preventive actions.

   e. **Opportunity for Improvement** – Suggestions on how to improve the topic.

   f. **Recommendation** – A suggestion or proposal from the Reviewer as to the best course of action to take on the identified topic.

Depending on the Item Type selected, the following fields may or may not be required.

3. **Item Category** * – Select the appropriate category. This is not the cause of the issue but the category of the issue.

4. **Found In Organization*** – Select the Organization where the Item was found.

5. **Responsible Party*** – Select the person responsible for responding to this item.

6. **Management System*** – From the dialog box, select the Management System associated with this item.

7. **Date Found*** – Enter the date the item was found.

8. **Due Date*** – Enter the target date to complete the actions and/or responses to address the item. (Not required for Best Practice.)

9. **Begin Email Reminders** – Optional field. Select how far in advance a reminder will be sent to the Responsible Party.

10. **Project or WBS**# – Optional field. Enter WBS# or Project related #.

11. **Hazard Severity*** – Select severity level associated with this item. Required for nonconformance and management concern; optional for OFI and recommendation (select n/a). Use the Hazard Severity Table provided at the top of the page.

12. **Mishap Probability*** – Select how often this item is likely to occur. Required for nonconformance and management concern; optional for OFI and recommendation (select "does not apply").

13. **Description*** – Describe the Item so the Responsible Party understands it.

14. Click Create

Repeat steps to add a Nonconformance, Management Concerns, OFI, or Recommendation. See Figures 17 and 18 for steps to create Best Practice and Lessons Learned.
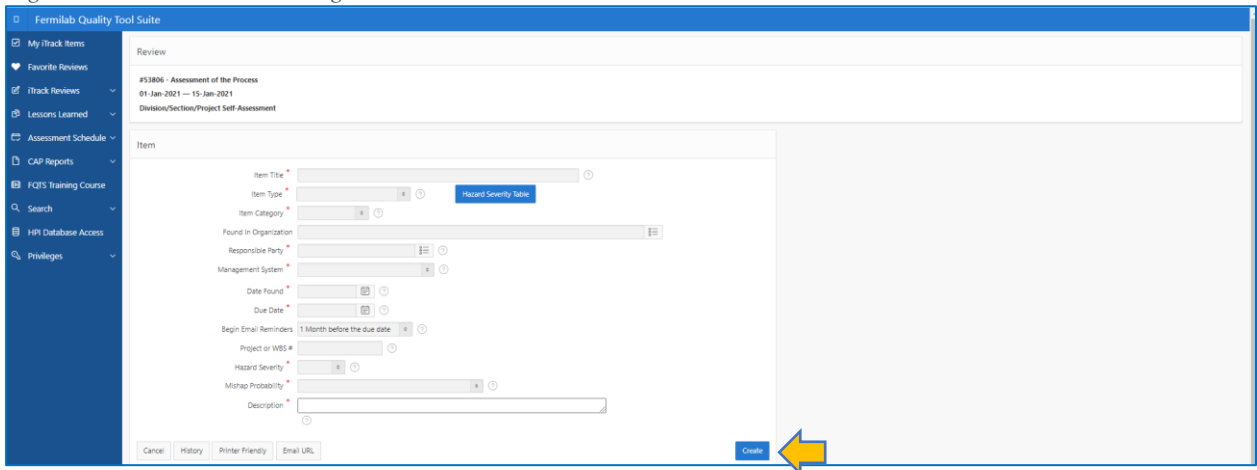
Figure 10a Create Item – Item Page
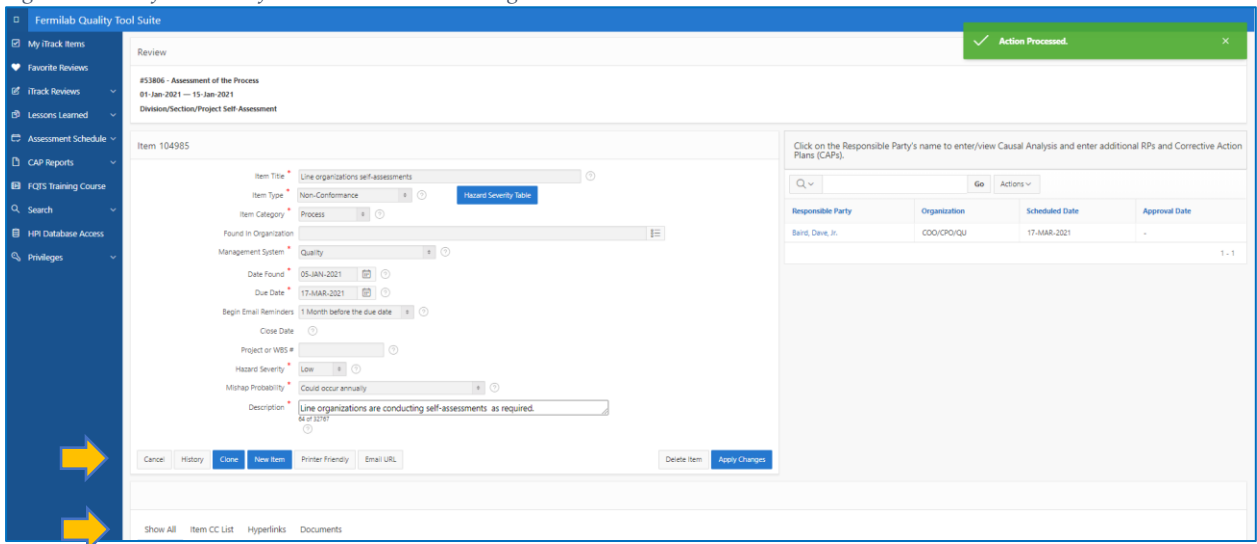

Figure 10b Confirmation of Item Creation – Item Page

Figure 10b, the **Item page**, will open with the green `Action Processed` confirmation. On the lower left of this page are a row of buttons and a row of tabs. From the blue buttons you can `Clone` the Item (Section 7.4) or add a `New Item`, (click on the button and a blank Item page will open) or edit. (Click on `Apply Changes` to save edits.) The gray buttons allow you to return to the Review page (cancel button), view the history of the item, view a printer-friendly report, and directly email the Item to a recipient.

The row of tabs allows you to add recipients to a CC List, add hyperlinks, and upload documents relevant to this **Item**. The process for adding hyperlinks and documents to an **Item** is the same as described in Section 6.2.1 (Figures 7 and 8).

The process to add a recipients CC List is in Figures 11a and b.

Steps to **Create CC** (Figures 11a&b)

On the Item page, click **Item CC list** tab then Create CC to add names of individuals who should receive information on this Item. Figure 11a will open.

1. **CCed* Worker** – From the dialog box, select the name(s) of those who should be cc'd.
2. Click Create

Confirmation of a CC creation will appear (Figure 11b). Repeat steps for each CC request.

Figure 11a Create CC
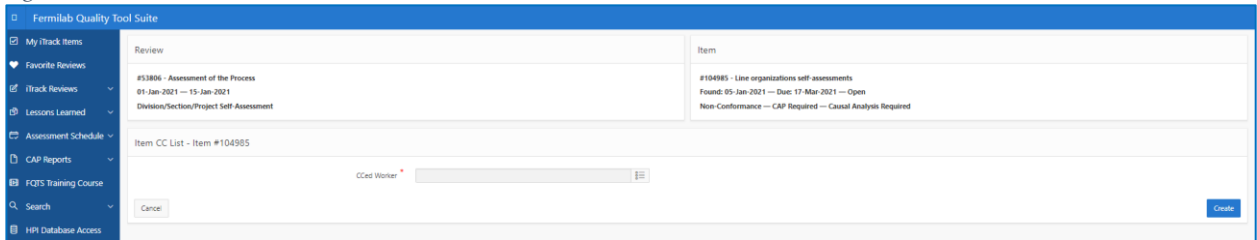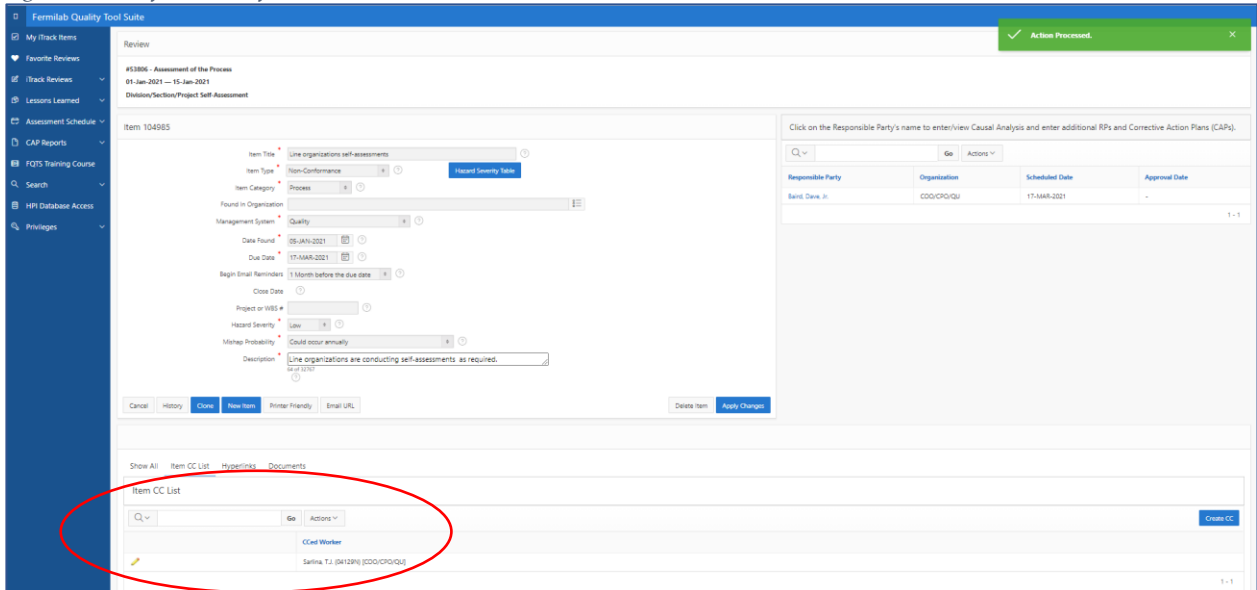
Figure 11b Confirmation of CC creation
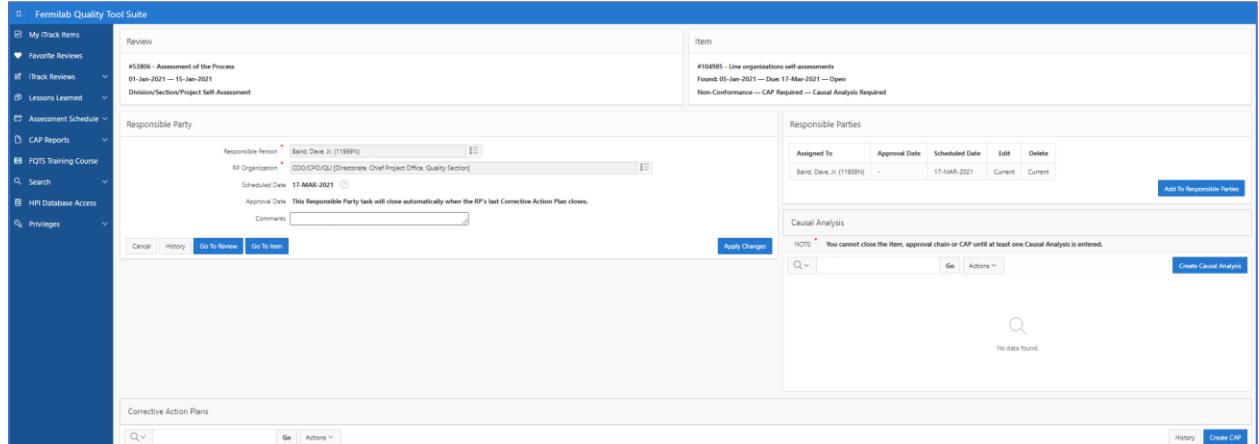
Add **Responsible Parties**

To add Responsible Parties, a Causal Analysis, and a Corrective Action Plan to this **Item**, click on the Responsible Party's name at the upper right on the **Item page**. The **Responsible Party Page** (Figure 12) will open.

Figure 12 Responsible Party Page

At the right side of the **Responsible Party Page** (Figure 12), find Add to Responsible Parties. Click on it and Figure 13a will open.

Steps to Add Responsible Parties (Figure 13a&b)
1. **Responsible Party*** – Select the name of the Responsible Parties from the dialog box.
2. **Scheduled Date*** – Keep the original date or change it.
3. **Comments** – Optional. Provide details on approval chain for this Item.
4. Click Create.
   Repeat steps to add more Responsible Parties for the Item.

Figure 13a Add to Responsible Parties page
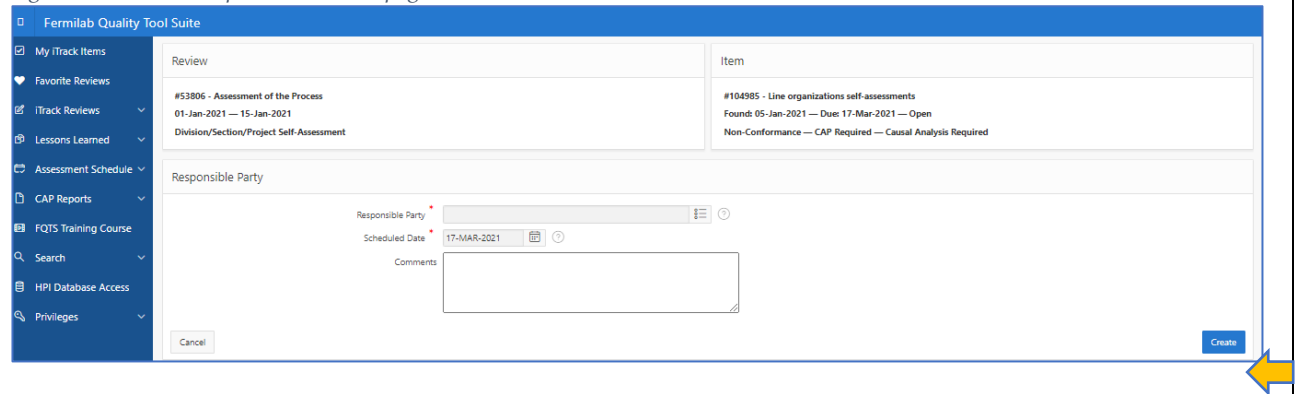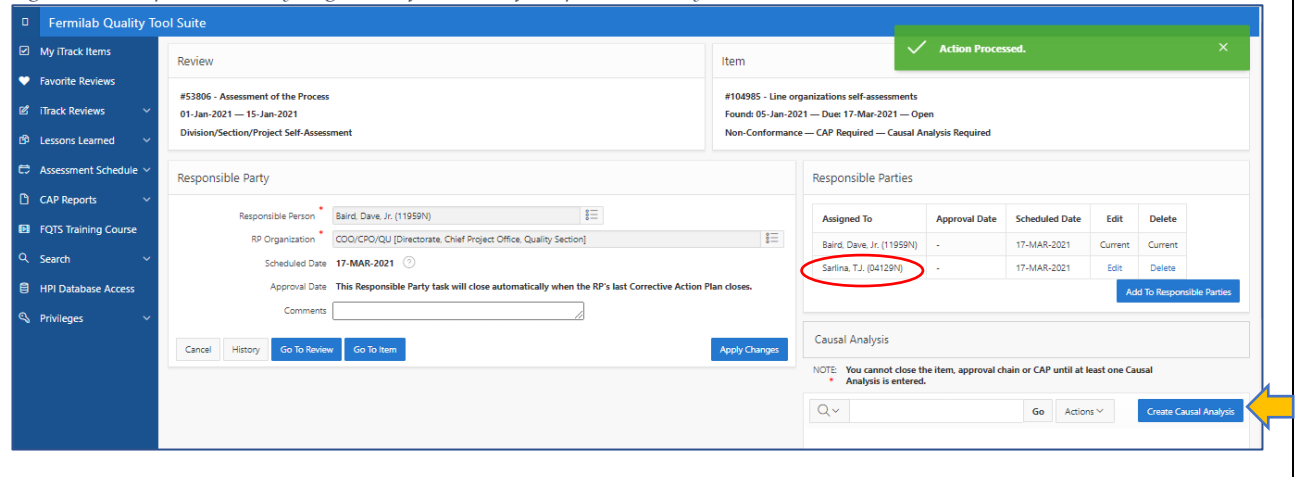
Figure 13b Responsible Party Page – Confirmation of Responsible Party addition

Add **Causal Analysis**

A casual analysis is required for a nonconformance and management concern. It is optional for an OFI and recommendation.

To add a causal analysis, from the **Responsible Party Page** (Figure 13b) click on Create Causal Analysis. Figure 14a will open.

Steps to Add Casual Analysis (Figures 14a&b)
1. **Analysis Code*** – Select the appropriate Level A causal node from the drop-down list.
2. * – Select the appropriate Level B causal node from the drop-down list.
3. * – Select the appropriate Level C causal node from the drop-down list.
4. **Causal Narrative*** – Describe the causal analysis.
5. Click Create.

Confirmation of a Causal Analysis addition will appear (Figure 14b). Repeat steps to add Causal Analyses to the Item.

Figure 14a Create Causal Analysis Page
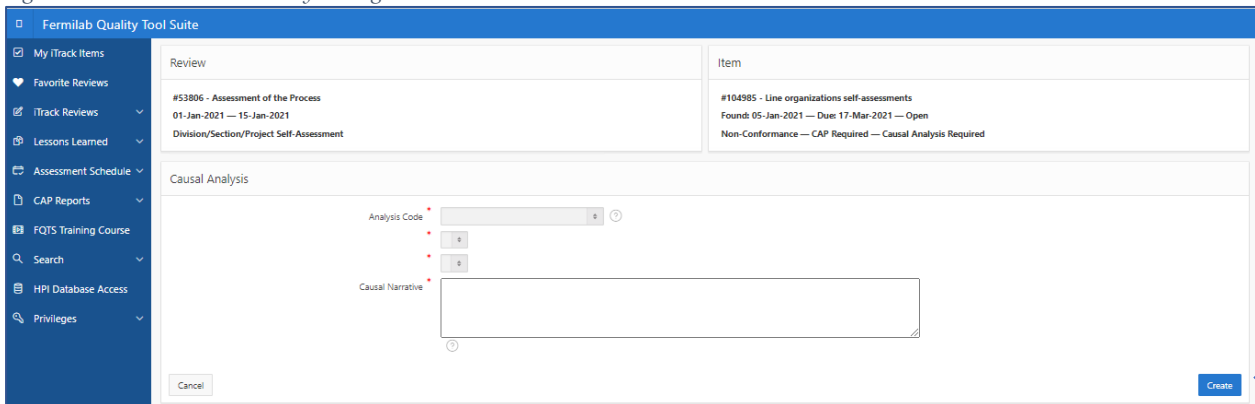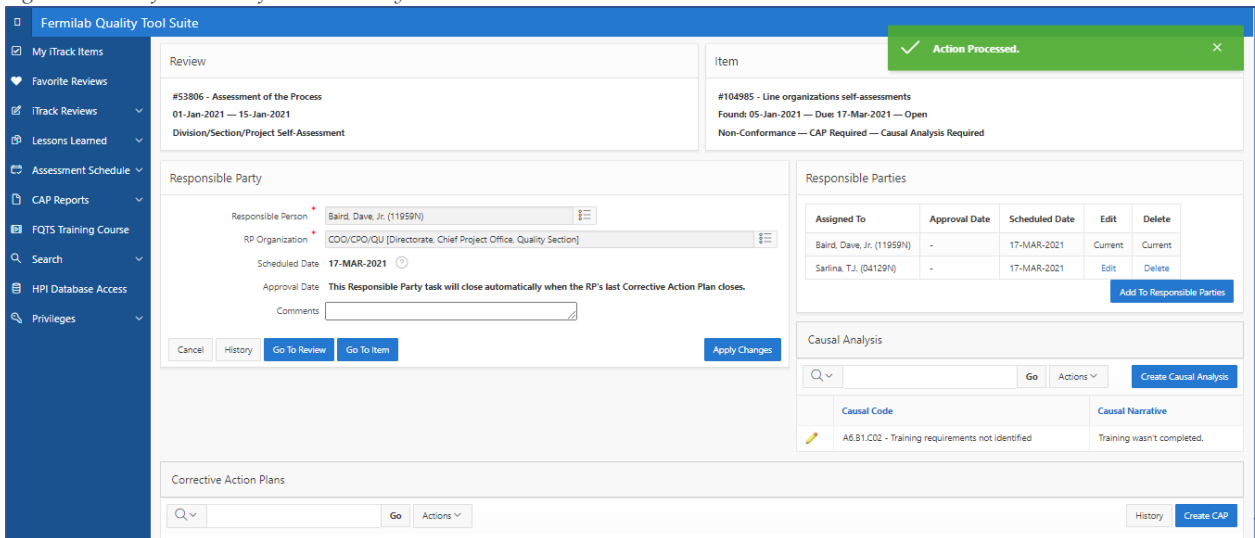
Figure 14b Confirmation of Causal Analysis Addition

Add a **Corrective Action Plan** (*See the following section, 6.2.3, for adding a CAP to an Item.*)

6.2.3   Action Plans/Responses

To add Corrective Action Plans (Action Plans/Responses) to an Item, from the **Responsible Party Page** click on Create CAP. (see arrow on Figure 14b) Figure 15a will open.
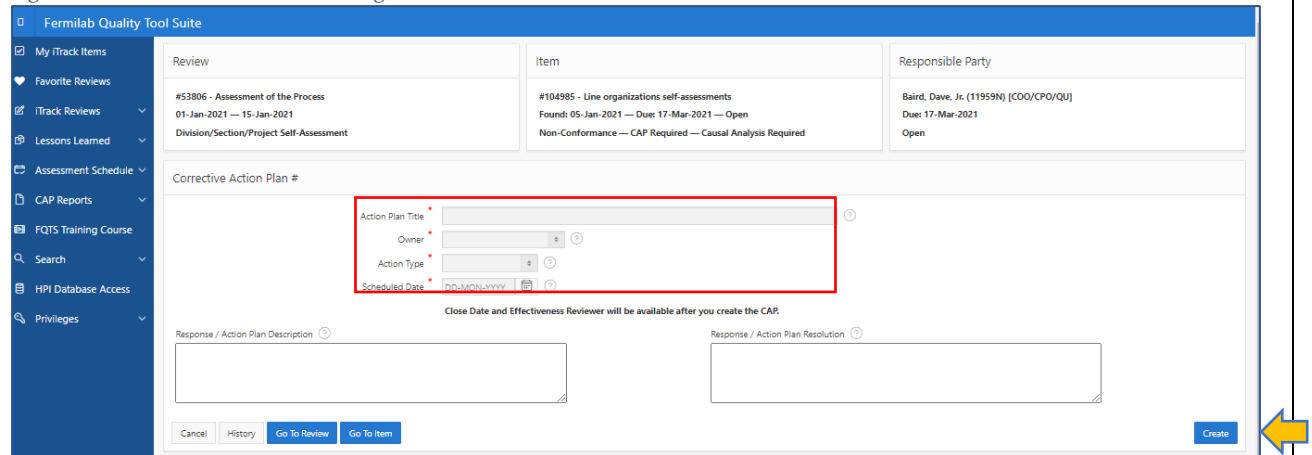
Steps to Create a Corrective Action Plan (CAP) (Figure 15a)

To create the CAP, complete the fields indicated by the red box.

1. **Action Plan Title*** – Enter a descriptive title for the action plan.
2. **Owner*** – From the dialog box, select the owner of this CAP.
3. **Action Type*** – Select the type of CAP from the drop down box.
4. **Scheduled Date*** – Enter the date the CAP will be completed.
5. Click Create.

Confirmation of the CAP will appear (Figure 15b). Repeat steps for additional CAPs. Remaining fields will be completed when the CAP is completed.

Figure 15a Corrective Action Plan Page

Figure 15b Corrective Action Plan Page – Confirmation of CAP Creation

Add information to **CAP**

The process to add hyperlinks and upload documents relevant to a CAP is the same as described in Section 6.2.1 (Figures 7 and 8) for adding hyperlinks and documents to a Review. Use the tabs at the lower left on the **Corrective Action Plan page (**Hyperlinks, Documents) to add or upload. The third tab on the CAP page is **Milestone**. to add a milestone. See below for steps to add one.

Add a **Milestone**

On the Corrective Action Plan page, click on the Milestones tab and Create Milestones; Figure 16a will open.

Steps to Add a Milestone to a CAP (Figure 16a)
1. **Sequence in Action Plan*** – Enter the number this milestone is in the order of the Item's milestones.
2. **Title*** – Enter a high-level description of the milestone.
3. **Scheduled Date*** – Enter the date the milestone is to be completed.
4. Click Create.

Confirmation that the Milestone was created will appear (Figure 16b).

Figure 16a Milestone Page
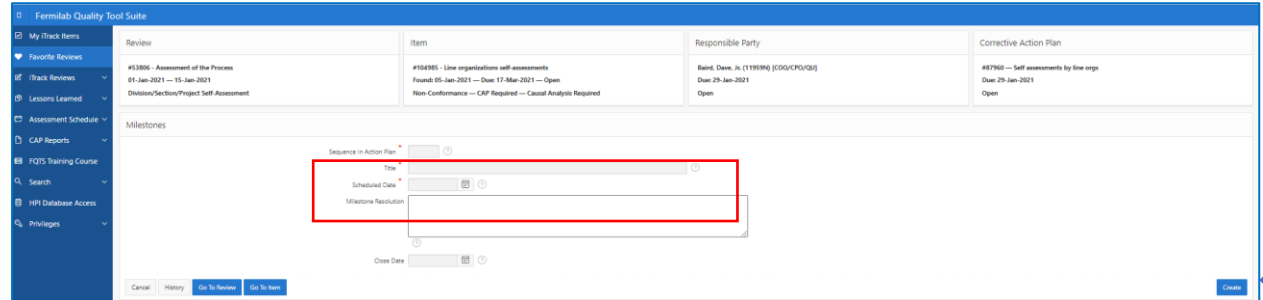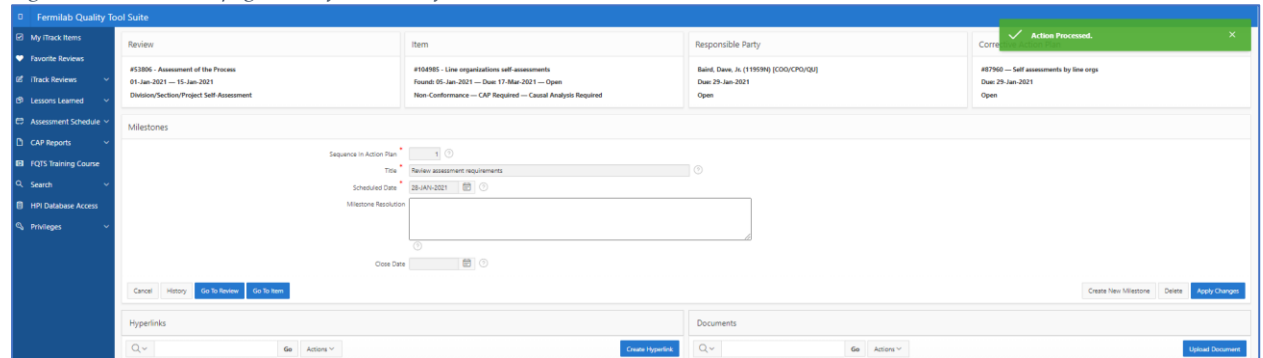
Figure 16b Milestone page – Confirmation of Milestone Creation

More Milestones may be added directly from the Milestone page by clicking the Create a New Milestone button and repeating the steps.

Hyperlinks and Documents relevant to the Milestone may be added through the Milestone page (16b). Click on Create Hyperlink or Upload Document to add a hyperlink or document. The steps are the same as described in Section 6.2.1, adding a hyperlink or document to a Review.

Adding a Best Practice Item Type to a Review

Required information to add a Best Practice to a Review differs from the other Item types. Figures 17a and b walk through the steps to create a Best Practice. Start at the Review page (Figure 7a) and click on Create Item.

Create a Best Practice Item Type (Figure 17a)

1. **Item Title*** – Descriptive title of the item or number assigned to the item from a DOE assessment.
2. **Item Type*** [3] –

   Best Practice – A positive example of a work process or innovative approach with the potential to be the basis for significant operational improvements or cost savings.
3. **Item Category *** – Select the appropriate category from the drop-down box. This is not the cause of the issue but the category of the issue.
4. **Found In Organization*** – Select the Organization from the list in the drop-down where the Best Practice was found. The field to the right of this field will populate with departments within the selected Organization. This field may be used to be more specific. It is optional.
5. **Responsible Party*** – Select the person responsible for responding to this Item.
6. **Management System*** – From the drop-down box, select the Management System associated with this Item.
7. **Date Found*** – Enter the date the Item was found.
8. **Project or WBS**# – Optional field. Enter WBS# or Project-related #.
9. **Description*** – Describe the Best Practice so when referenced others can understand and adopt if applicable.
10. Click Create

Confirmation that a Best Practice Item Type created will appear (Figure 17b).

A Best Practice Item Type does not require a CAP and closes automatically upon creation.

Figure 17a Create a Best Practice Item Type
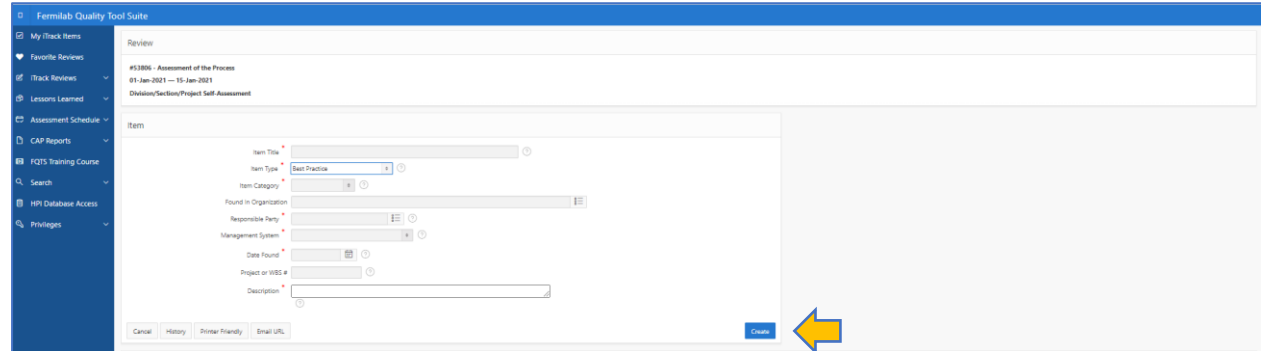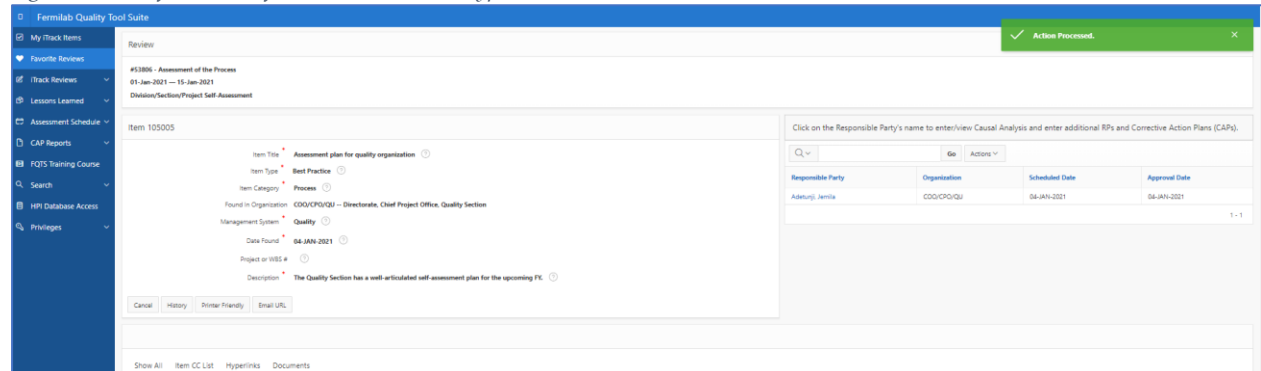
Figure 17b Confirmation of Best Practice Item Type Creation

A Lessons Learned Item type requires different information. Figures 18a and b detail the steps required to add a Lesson Learned to a Review. From the Review page, click Create Item.

Create a Lessons Learned Item Type (Figures 18a&b)

1. **Item Title** * – Descriptive title of the Lessons Learned.
2. **Item Type** *[3] – **Lessons Learned** – A best practice that is captured and shared to promote repeat application, or an adverse work practice or experience that is captured and shared to prevent recurrence.

Please note: Several fields change with a Lessons Learned Item Type: Item Category, hazard severity, mishap probability, and Project or WBS# disappear; new ones appear: Originator, Source, Source Type, Project/Experiment, Critical Decision, Keywords, Lessons Learned Topics, Work/Process Descriptions, and several Lessons Learned Narratives (two are required fields).

3. **Found in Organization** * – Select the Organization from the list where the Lessons Learned was found.

4. **Responsible Party*** – Select the person responsible for responding to this Lessons Learned.
5. **Management System*** – From the drop-down box, select the Management System associated with this Lessons Learned.
6. **Originator*** – Free text entry. Enter the Lab/facility/source of the Lessons Learned. Examples are Fermilab, OPEXShare, Argonne.
7. **Source*** **–** Select the type of activity that was source the of this Lessons Learned.
8. **Source Type*** – Select either Internal or External for where the Lessons Learned occurred and if it was internal or external to Fermilab.
9. **Project/Experiment –** Select the project/experiment from the drop-down list, if applicable.
10. **Critical Decision** – Select from the drop-down list, if applicable.
11. **Date Found*** – Enter the date the Lessons Learned was found.
12. **Due Date*** – Enter the date the response to the Lessons Learned should be complete.
13. **Begin email reminders** – This will default to 1 month before the due date. This may be changed from one to six months by selecting from the drop-down list.
14. **Keywords*** – This is a free text field. Enter descriptive terms that will aid others when searching the database for similar Lessons Learned.
15. **Description*** – Describe the Lessons Learned so when referenced others can understand and apply the lesson.

Before clicking on the blue Create button, there are several required fields remaining for a Lessons Learned Item. Go to the Lessons Learned Topics.

16. ☐ **Send to all Subscribers** – Checking this box will inform the database to send Lessons Learned to all Lessons Learned database subscribers regardless of their selected subscription topics.
17. **Lessons Learned Topics*** – Select all relevant ones from the list. More than one may be selected.
18. **Work/Process Description*** – Select all relevant ones from the list. More than one may be selected.

Go to the Lessons Learned Narrative fields. There are four different fields, two of them are required and identified with a red asterisk.
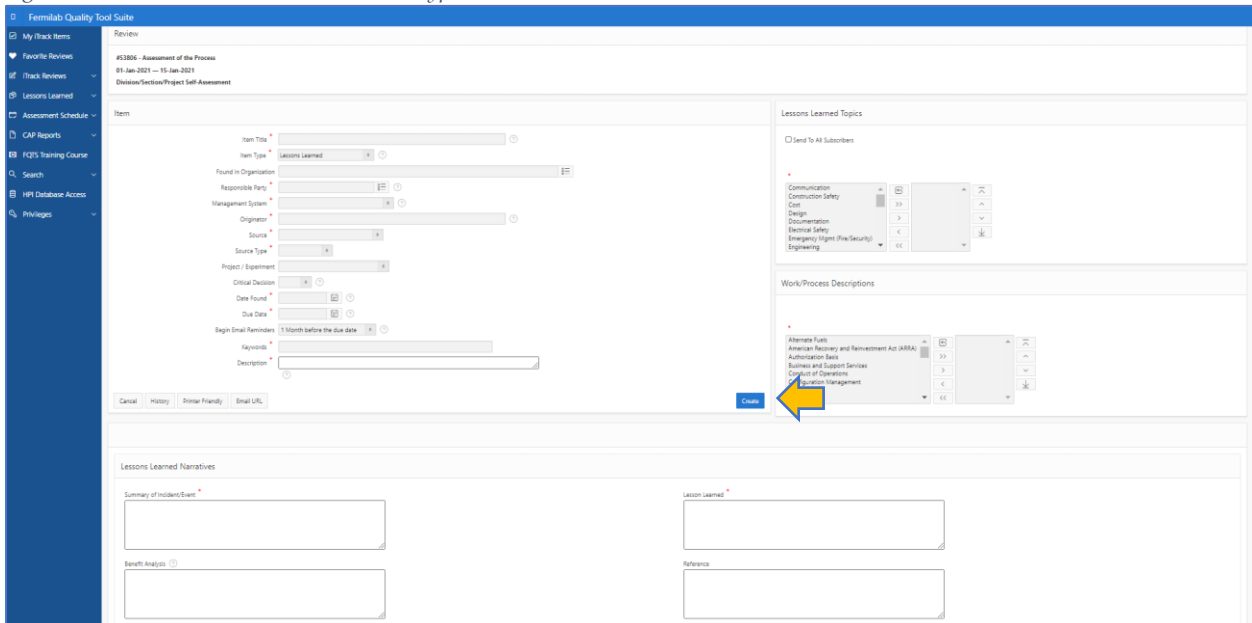
19. **Summary of Incident/Event*** **–** Describe the incident here.
20. **Lesson Learned*** – Describe the lesson from this particular event, assessment, or item.
21. **Benefit Analysis** – Optional. Describe the benefit to the laboratory of capturing these lessons learned. Enter any further analysis performed.

22. **Reference** – This is optional. Capture any reference source here.
23. Click Create.

Confirmation that a Lesson Learned Item Type was created will appear (Figure 18b).

Figure 18a Create a Lessons Learned Item Type

Figure 18b Confirmation of Lessons Learned Item Type Creation

To add more information to the Best Practice or Lessons Learned Item Type, such as a cc List, hyperlinks, documents, CAPs, etc. the process is the same as previously described for the Nonconformance Item Type.

*Note the new tab, **Contributors**, on Figure 18b. Contributors are other Fermilab personnel who played a part in this Lessons Learned. The process to add their names is the same as adding a name to the CC List.*

6.3   Creating Lessons Learned Report

The Lessons Learned database is part of the FQTS and may be accessed through the Navigation bar by clicking on "Lessons Learned."

6.3.1   Create a Lessons Learned <u>Review</u>

On the Lessons Learned homepage (Figure 19), click on Create a Lessons Learned Report. Figure 20a will open.
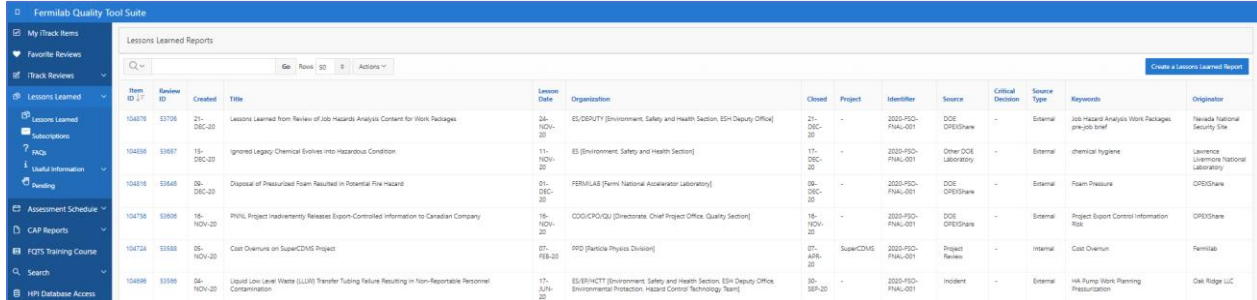
Figure 19 Lessons Learned Database Homepage

Steps to create a Lessons Learned Report (Figure 20a&b)

1. **Title*** – Enter a descriptive title of the LL Record.
2. **Originator*** – Enter the Lab/facility/source of the Lesson Learned, e.g. Fermilab, OPEXShare.
3. **Source of Lesson Learned*** – From the drop-down list, select what activity this Lessons Learned came from.
4. **Organization*** – Select the Fermilab organization from the drop-down list. (Further specify organization with the second drop-down list to the right of this entry.)
5. **Lesson Date*** – Enter the date the lesson was found.
6. **Management System*** – Select the MS this Lessons Learned applies to.
7. **Contact Person*** – Select the Fermilab contact for this Lessons Learned.
8. **Project/Experiment** – Select the project/experiment, if applicable.
9. **Critical Decision** – For Lessons Learned derived from Projects, select the associated CD point.
10. **DocDB Link** – Optional. Enter the link to the DocDB record related to this Lessons Learned.
11. **Source Type*** – Identify if the source is internal or external to Fermilab.
12. **Keywords*** – Enter keywords that will help identify this Lessons Learned in a future search.
13. **Begin email reminders** – This is an optional entry to document how far in advance from the due date you want to receive reminders. This will default to 1 month before the due date and may be changed from one to six months by selecting from the drop-down list.
14. ☐ **Send to all Subscribers** – Checking this box will inform the database to send this Lessons Learned to <u>all</u> Lessons Learned database subscribers regardless of their selected subscription topics.
15. **Lessons Learned Topic*** – Select the LL topic(s) from the associated list. More than one may be selected.
16. **Work/Process Description*** – Select the work/process description(s) that relates to the Lessons Learned. More than one may be selected.
17. **Summary of Incident/Event*** – Describe the incident.

18. **Lesson Learned*** – Describe the lesson or the "take away" from the incident or event – what is the lesson learned?

19. **Benefit Analysis** – Optional field. Enter information regarding why this lesson learned is beneficial to capture for the lab.

20. **Reference** – Optional field. Capture additional reference sources here such as a link to associated documents or materials.

21. Click Create.

Figure 20a Create a Lessons Learned Review Page
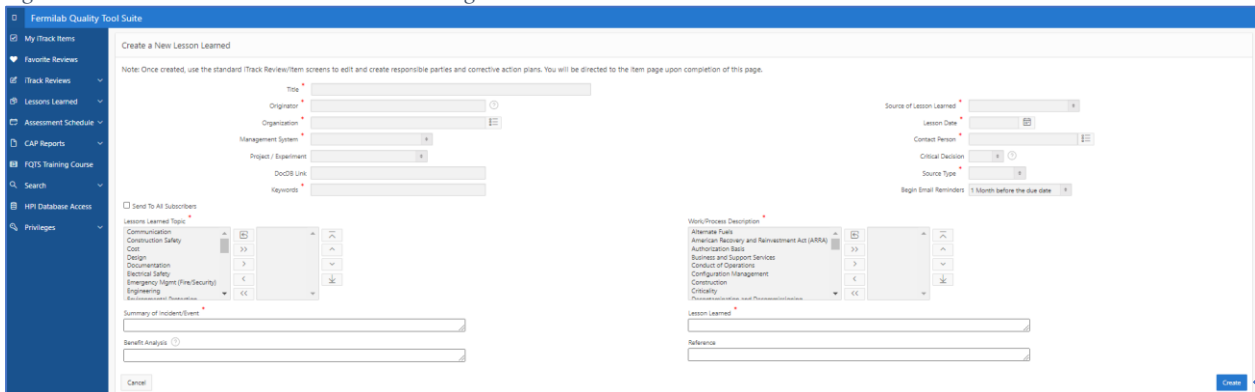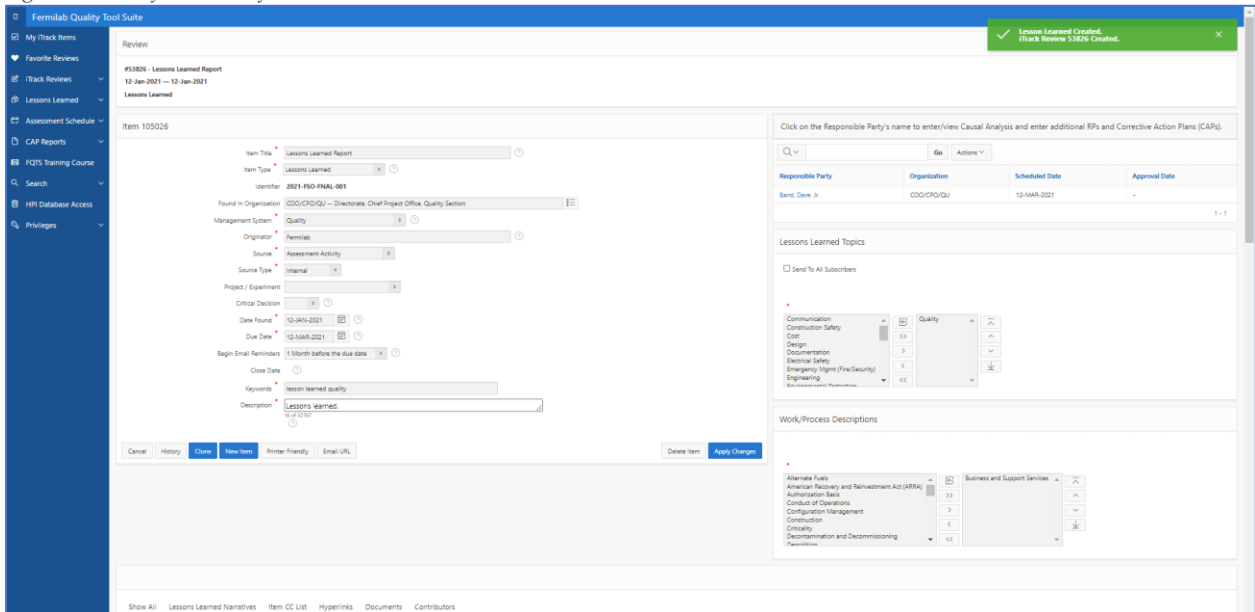
Figure 20b Confirmation of a Lessons Learn Review Created

When a Lessons Learned Review is created, the database automatically creates a Lessons Learned Item Type for the Lessons Learned Review (Figure 20b), resulting in a Lessons Learned <u>Item Type</u> within a Lessons Learned <u>Review</u>. Editing or adding new information to the Lessons Learned Review or Item Type follows the same steps previously described for entering information into a Review or an Item (Sections <u>6.2.1</u> or <u>6.2.2</u>). If there is no further action required, this Lessons Learned Item type may be closed immediately by opening the Responsible Party page and entering the approval date. If action is required, such as disseminating the Lessons Learned information to a specific organization or group, create a Corrective Action Plan (CAP) from this page to record the action, scheduled (due) date and owner (responsible party). (<u>Section 6.2.3</u>)

6.4   Update/Close Records

To close an Item in iTrack or Lessons Learned database, any <u>Milestones</u> created **must be closed first**, then <u>Corrective Action Plans</u> can be closed, then the Item can be closed.

6.4.1   Update/Close a Milestone

To get to the Milestone, open the Item – > Corrective Action Plan – > Milestone.

Open the **Item page.** To access it, find it in the "My iTrack Items," or open the **Review page** via the iTrack Reviews link on the Navigation bar and click on the pencil next to the Item ID. Access the Corrective Action Plan by clicking on the Responsible Party name (Figure 21). The **Responsible Party page** (Figure 22) will open. Click the pencil next to the Corrective Action Plan to open the **Corrective Action Plan page** (Figure 23). Click the pencil next to the Milestone. This will open the **Milestone page** (Figure 24a).

Figure 21 Item Page

Figure 22 Responsible Party Page

Figure 23 Corrective Action Plan Page

Steps to Close Milestones (Figure 24a,b&c)

Sequence in Action Plan, Title, and Scheduled Date will be pre-populated with previous entries. Complete the following information to close the Milestone.

1. **Milestone Resolution** – Enter a high-level description of result.
2. **Close Date** – Enter date milestone was completed.
3. Click Apply Changes

The Milestone will be closed as confirmed by the green "Action Processed" box (Figure 24b). A second way to confirm is to return to the Corrective Action Page (click Cancel) and see the "Disposition date" on the Milestone table (Figure 24c).

Figure 24a Milestone Page
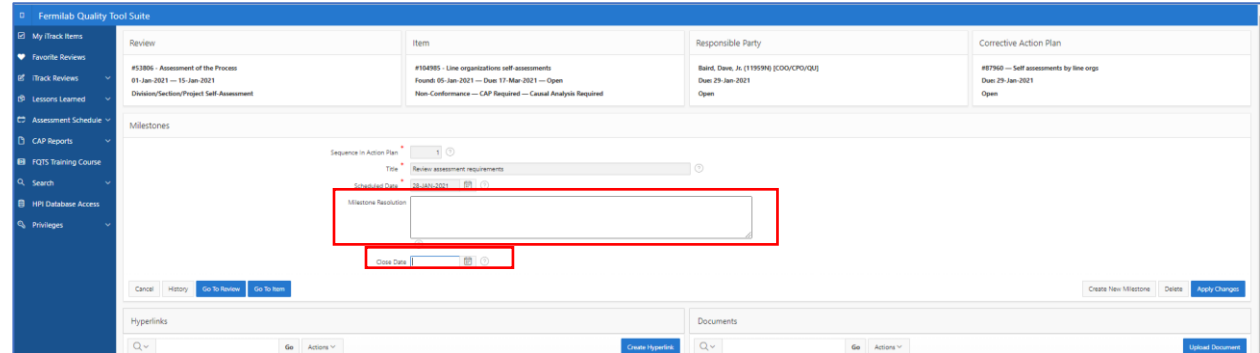
Figure 24b Confirmation of Milestone Closing
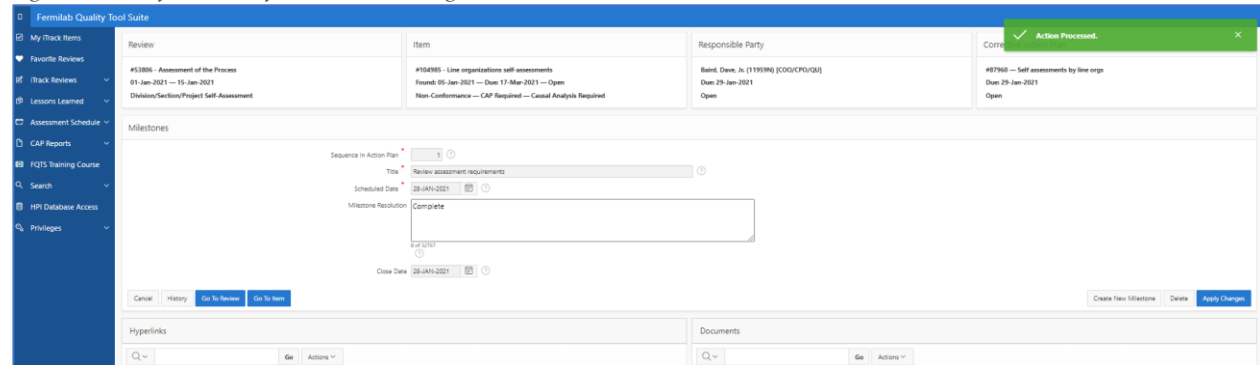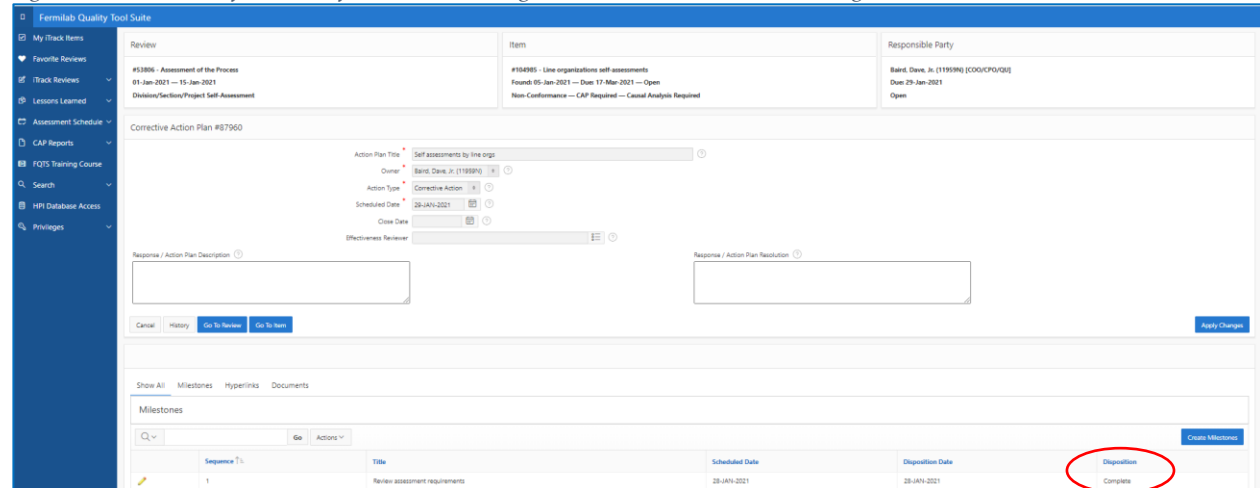
Figure 24c Second Confirmation of Milestone Closing – The Corrective Action Plan Page

6.4.2   Update/Close a CAP

Open the **Corrective Action page** (Figure 25a) to close the Corrective Action Plan.
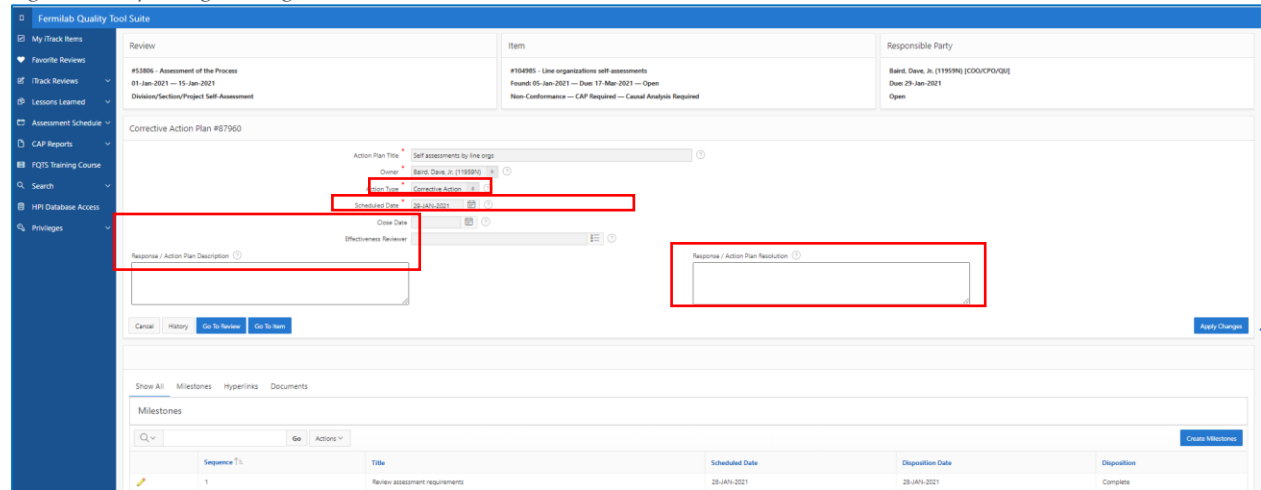
Steps to Close a CAP (Figure 25a)

Action Plan Title, Owner, Action Type, and Scheduled Date will be pre-populated. Complete the entries noted in red boxes.

1. **Close Date** – Date actions were completed.
2. **Effectiveness Reviewer** – Required for a CAP addressing a nonconformance or management concern. Select the individual who will be notified after 90-days to review the CAP for effectiveness in addressing the issue. This cannot be the RP.
3. **Response/Action Plan Description** – Describe the action taken to resolve the Item.
4. **Response/Action Plan Resolution*** – Describe the actions taken to resolve the corrective or preventive action or response.
5. Click Apply Changes.

Confirmation that the CAP was updated/closed will appear (Figure 25b).

Figure 25a Updating/Closing a Corrective Action Plan

Figure 25b Confirmation of Corrective Action Plan Updated/Closed

With closure of the Milestone and the Corrective Action Plan, the Item is now closed. To confirm, access the **Review page** and note the status of the Item. (Figure 26)

Figure 26 Confirmation of Closed Item

7.0   OTHER ACTIONS

7.1   Cancel Button

The Cancel button on every page is the back button. Hover over it and a pop-out will display the name of the page you will be directed to. Click and you will be directed to the described page.
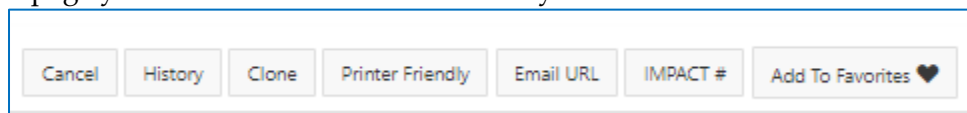
7.2   History

The History button displays a list of all changes made to the page.

7.3   Email URL

The Email URL button provides a way to directly email the record to an interested party. When you click on it, your email program will open and ask for a recipient for the message.
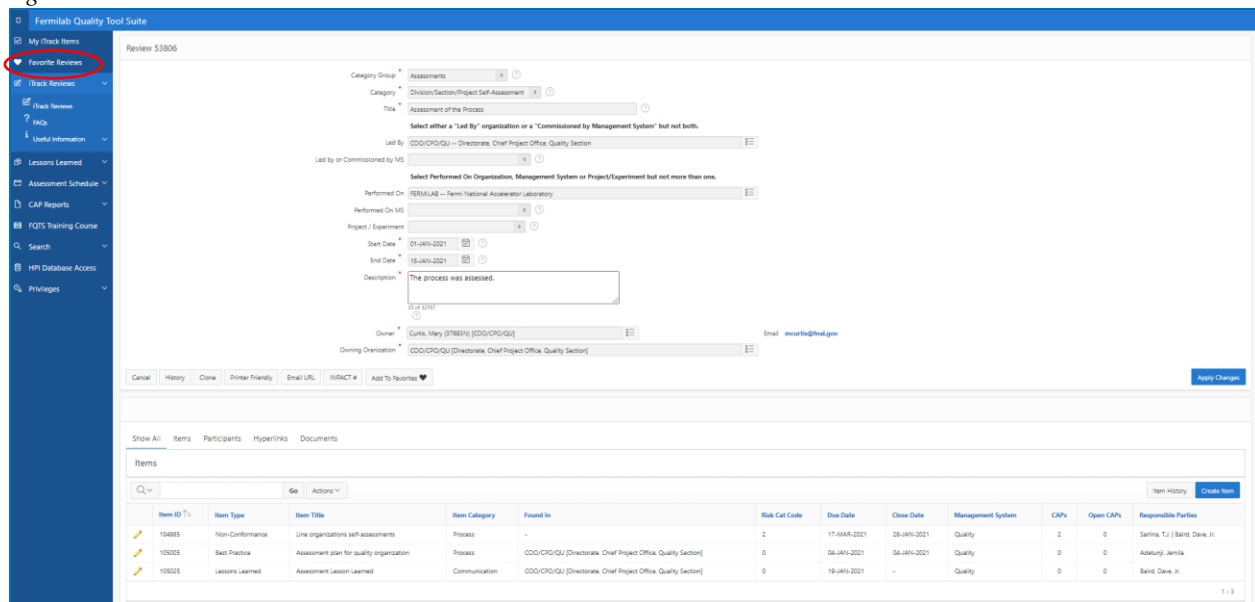
7.4   IMPACT#

The IMPACT # button provides a direct link to the IMPACT database. See Impact User Guide.

7.5   Add to Favorites ♥

The Add to Favorites Button is a way to bookmark the Review. After the first time it's used, a new link will appear on your Navigation Bar. See Figure 27.

Figure 27 The Favorites Link

7.6   Re-open Action Plans/Responses

To re-open a closed Item, open the Item's page by finding it under "My iTrack Items" on the Navigation bar. Click the pencil next to the Item ID -> click on the Responsible Party's name to access the **Corrective Action Plan** page -> click the pencil next to the CAP ID. Figure 28a will open. To re-open the Item, complete the noted entries.

Steps to re-open a Corrective Action Plan/Response. (Figure 28a)

1. **Close date** – Delete.
2. Click Apply Changes.

Confirmation of the reopened CAP will appear (Figure 28b).

Figure 28a Closed Corrective Action Plan page
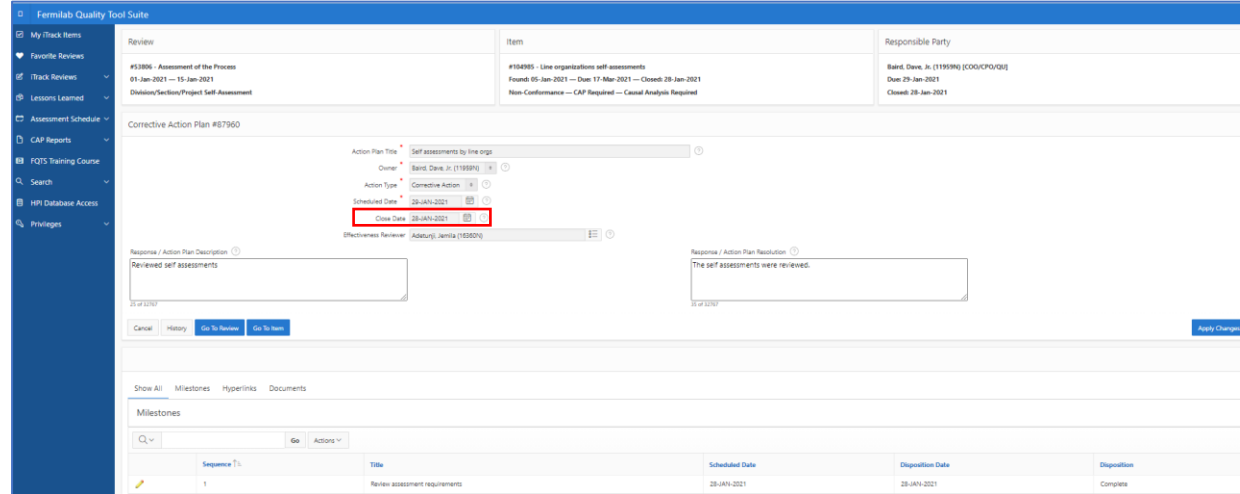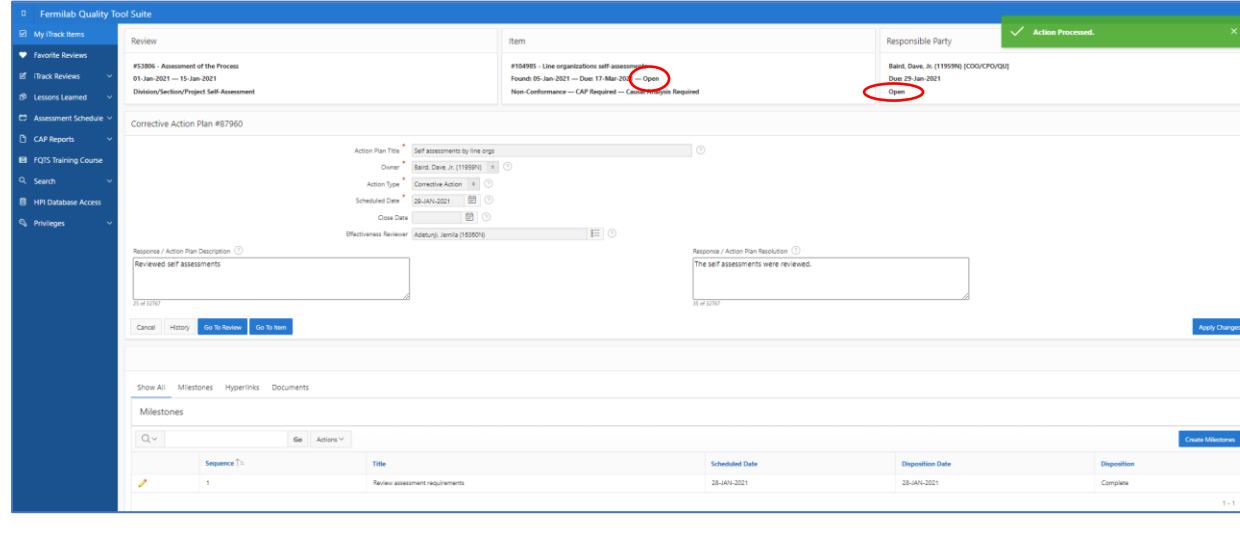
Figure 28b Confirmation of Reopened CAP

7.7   Re-open a Milestone

To re-open a closed Milestone, open the Item's page by finding it under "My iTrack Items" on the Navigation bar. Click the pencil next to the Item ID -> click on the Responsible party's name
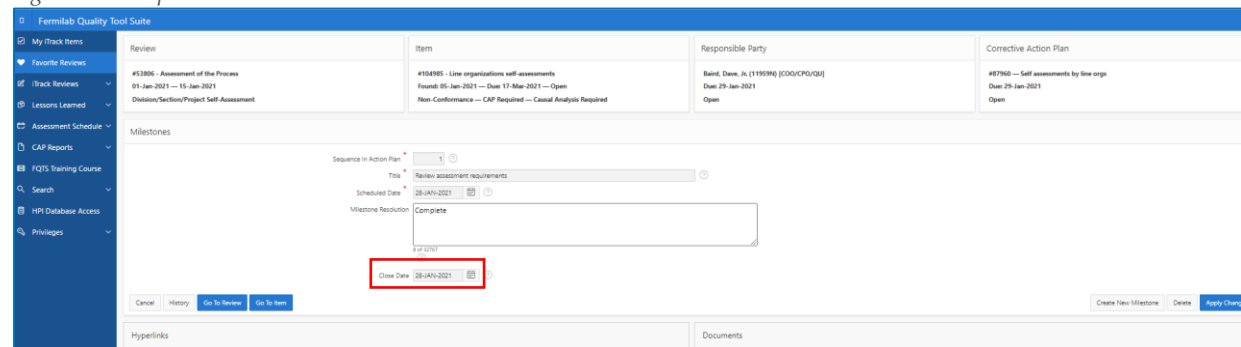
to access the Corrective Action Plan page->click the pencil next to the CAP ID->the pencil next to the Milestone. Figure 29a will open. To re-open the Milestone, complete the noted entries.

Steps to Re-open a Milestone (Figure 29a)
1. **Close Date** – Delete
2. Click Apply Changes
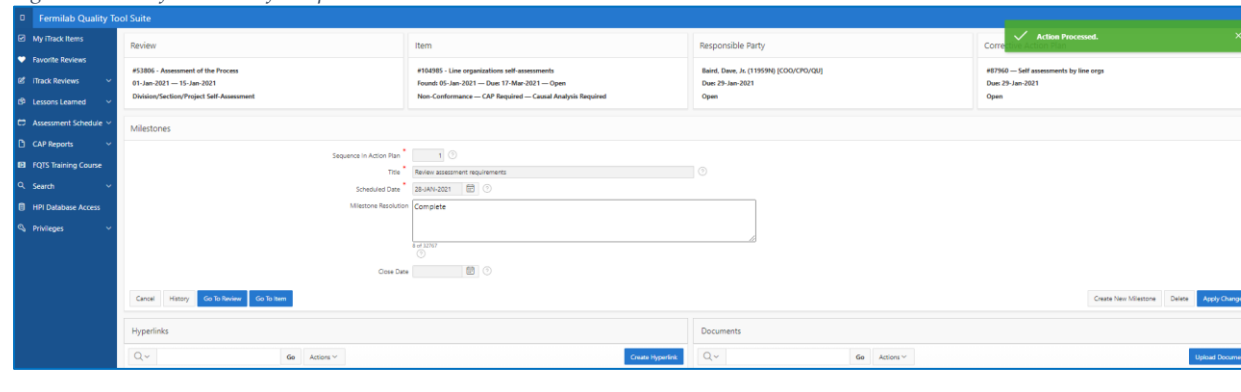
Confirmation of Milestone reopening will appear. (Figure 29b)

Figure 29a Reopen a Milestone

Figure 29b Confirmation of Reopened Milestone

7.8   Cloning – Review and Items

More than one Review may contain similar information; to avoid entering the same information numerous times, FQTS has a cloning feature that copies and pastes information from a selected Review into a new Review. This new Review may be edited with specific information.

<u>To clone a Review</u>, click the Clone tab on the **Review page**. A new Review will be created with all the original <u>Review</u> information. Corrective Action Plans, documents, hyperlinks, milestones, etc. that were in the original Review will <u>not</u> be cloned into the new Review. The new Review may be edited and information added accordingly.

More than one Item may also contain similar information; to avoid entering this same information numerous times, Items may be cloned within the Review.

<u>To clone an Item</u>, click the Clone button on the Item page. A new Item will be created with most of the original Item information (<u>excluding</u> the Title, Responsible Party name, Description, CAPs) cloned from the original. The missing entries must be completed in the same process as described above, and the cloned record saved.

7.9   Change Due Dates

To update or change scheduled dates for Items, Corrective Action Plans or Milestones, go to the Item page.

7.9.1   Change Item Due Date

To change the Item due date, change it on the page and click Apply Changes

7.9.2   Change CAP scheduled date

To change a CAP due date, access the Responsible Party page (via the Responsible party's name on the Item page).Access the CAP page (by clicking the pencil next to the CAP ID)

<u>Steps to Update Scheduled Dates (Figure 30a)</u>
1. **Scheduled Date** * – Update to the new date.
2. Click Apply Changes

If the new due date is beyond the Item's due date, you will receive an error notice that you must provide a reason for the extension. (Figure 30b)

Figure 30a Extend Scheduled Date
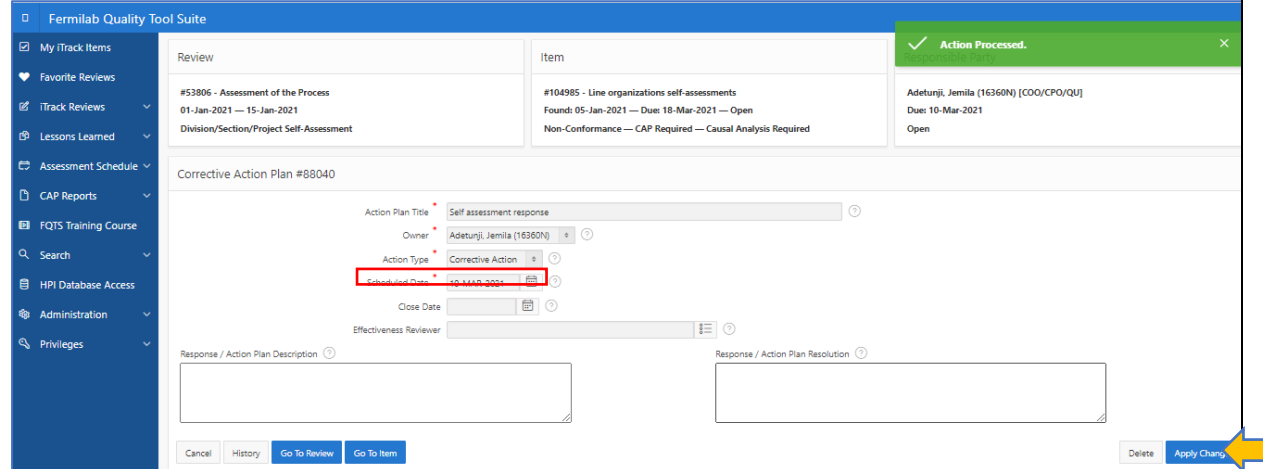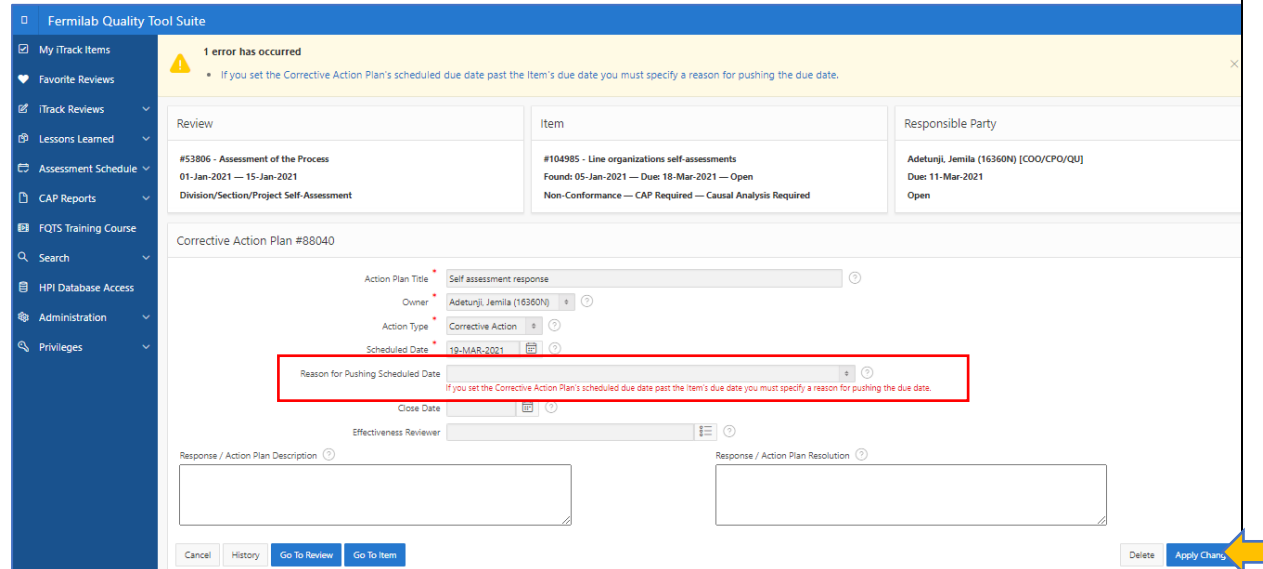
Figure 30b Extension of CAP due date, reason required error

1. **Reason for Pushing Scheduled Date** – Use the drop-down box to select the reason for changing the date.
2. Click Apply Changes

Confirmation of updated schedule dates will appear (Figure 30c).
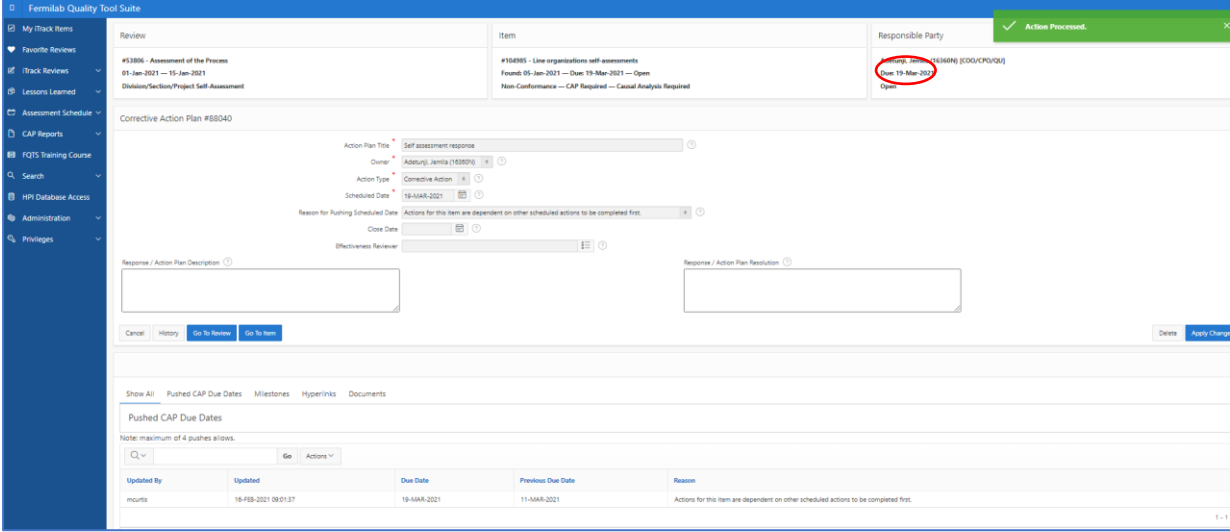
Figure 30c Confirmation of Updated Scheduled Date

Note: A list of extended dates and the reasons for the extension appear on this page. The number of extensions is capped at four. After the CAP due date has been pushed back four times, it can no longer be changes and the CAP Status will be Past Due until it is closed.

8.0   SEARCHING iTRACK

On the Navigation bar, select "Search" to open the seven different search options.(Figure 31).

Figure 31 Search Functions
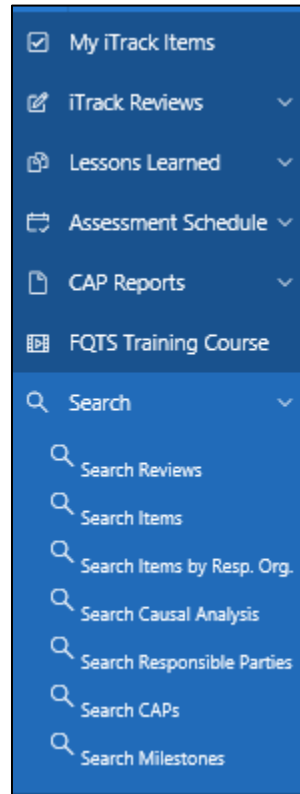
8.1   Search Functions

Click on Search Reviews under **Search** on the Navigation bar. This will open the **Search iTrack Reviews page** that contains a table of iTrack Reviews. You may search all Reviews several ways from this page.

1. Enter a term in the search bar at the top and click Go.
   Note: This will limit the search for the term to the displayed columns.

   This search may be further narrowed by repeating this step with a second term; the results will be fields that contain **both** terms that were entered in the search bar.

   Broaden or narrow this search by clicking on Actions and then click on Select Columns. Select the columns (i.e., fields) you want to include or exclude from the search.

Filter a search by clicking on <u>Actions</u> and then <u>Filter</u>. This will allow you to specify the columns and expressions to filter.

2. Another way to search this page is to click on a column header and filter the contents of the column according to your search.
3. A way to limit a search of Reviews, Items, or Responsible Parties to an **Organization** is to first select the Division/Section at the top of the page, and then continue with your search.

*Clear search filters by clicking on the **x** to the right of the selected filter. (This will appear under the search bar).*

Steps to use other search functions (Items, Responsible Organizations, Causal Analysis, Responsible Parties, Corrective Action Plans and Milestones) are the same as described for "Search Reviews."
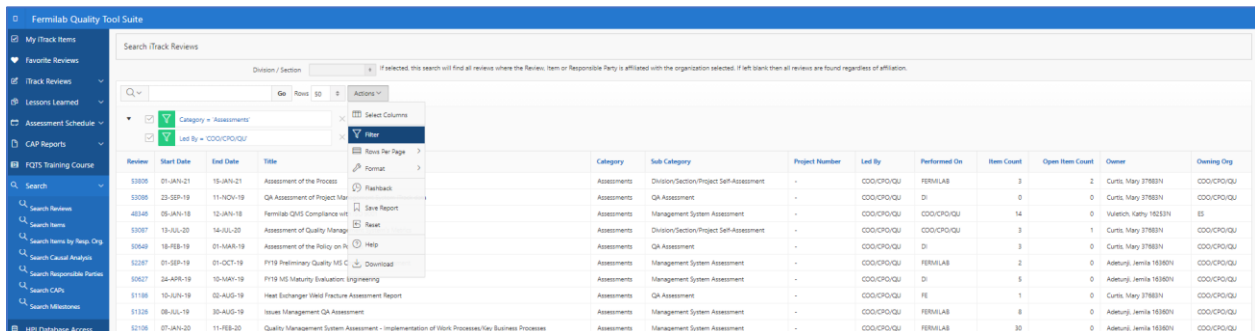
8.2 Saving Searches

The filters selected for searches may be saved for future use by performing the following steps.
1. Select the filters for the search.
2. Click the Actions button next to the Search bar and select "Save Report" (Figure 32a). A new window will open. (Figure 32b)
3. In the new window, name and describe the search. Click Apply.

This search is now saved. To access it, click on the field to the right of the Search bar. A dropdown list of saved searches will appear. Select the one of interest. (Figure 32c)

Figure 32a Saving Search Filters Step 1

Figure 32b Saving Search Filters, Step 2
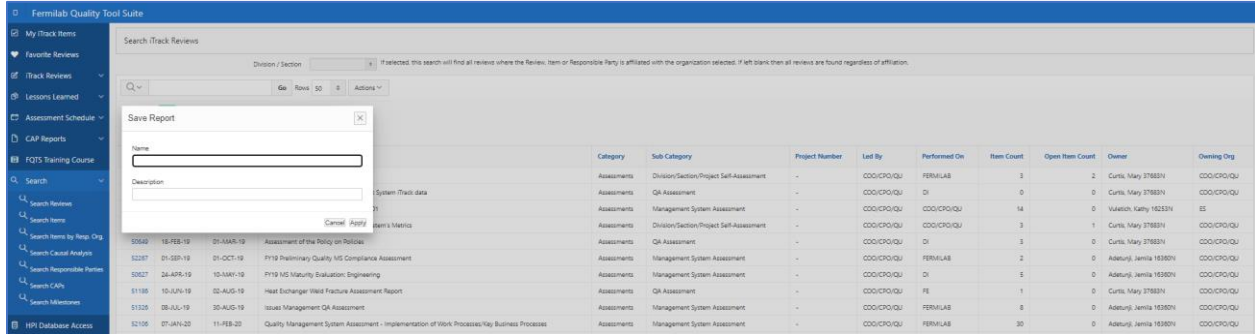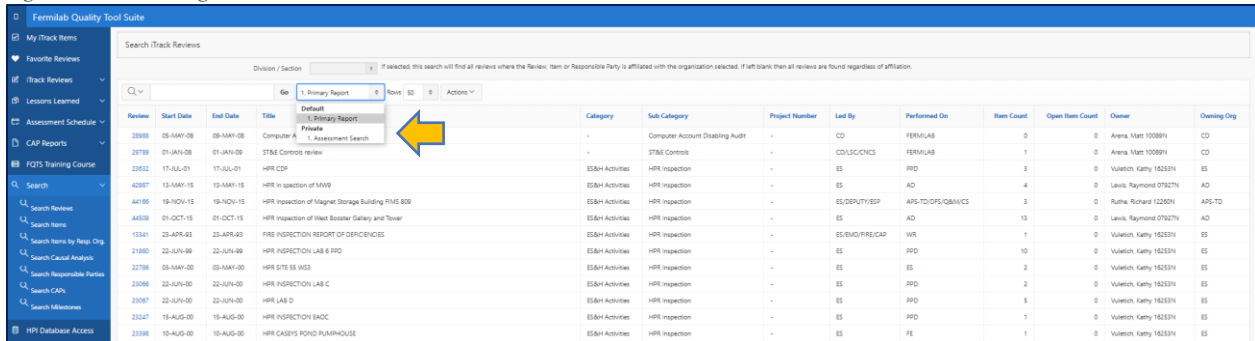
Figure 32c Accessing Saved Searches

8.3 Lessons Learned Database Search

To search the **Lessons Learned Database**, access the **Lessons Learned Reports page** by clicking on Lessons Learned on the left Navigation Bar.

1. Search by entering a term in the search bar at the top and click <u>Go</u>. This will search the information contained in all Lessons Learned Reports and other Reviews that contain a Lessons Learned item type.

Note: This will search for the term within only those columns displayed in the table.

> This search may be further narrowed by repeating this step; the results will be fields that contain **both** terms that were entered in the search bar.

> Broaden or narrow this search by clicking on <u>Actions</u> and then click on <u>Select Columns</u>. Select the columns (i.e., fields) you want to include or exclude from the search.

Filter a search by clicking on <u>Actions</u> and then <u>Filter</u>. This will allow you to specify the columns and expressions searched.

2. Another way to search this page is to click on each column header to filter the contents of the column.
3. Clear search filters by clicking on the **x** to the right of the selected filter (under the search bar).

*Note: This page is the way to search for **keywords** in Lessons Learned. <u>Again, keep in mind that the **keywords column** must be displayed in the table when the search is conducted</u>.*

8.4   Export Data from Search Results

To export search results:
- Click on the Actions button at the top of the results page. (Figure 33a) Select "Download" from the list. A window will open. (Figure 33b)
- On the open window, select the format for the download. CSV will be an Excel file.

The search results will be exported and the data will not be connected to the live database and can be saved and manipulated.
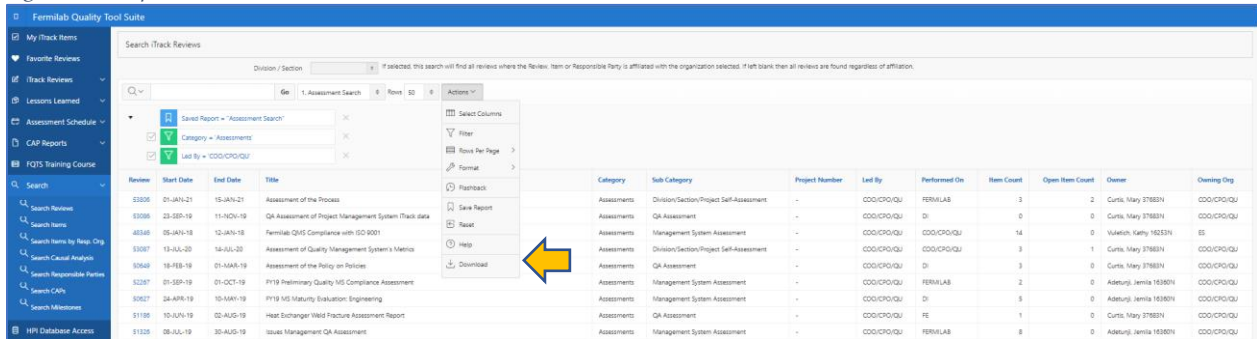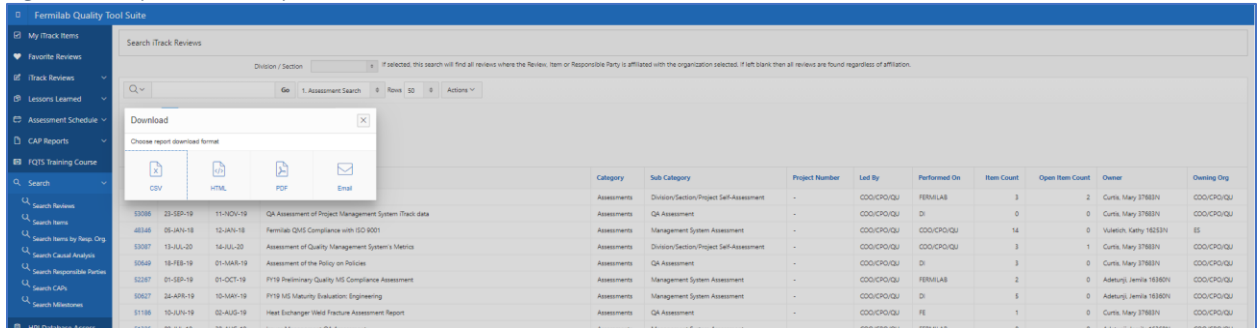
Figure 33a Export Search Result

Figure 33b Export Format Options

9.0 EFFECTIVENESS AND VERIFICATION REVIEWS

9.1 Effectiveness Review

After a nonconformance or management concern has been closed for 90 days, iTrack database sends an automated email alerting the Effectiveness Reviewer that the corrective action requires an **Effectiveness Review**. A link in the email will direct the Effectiveness Reviewer to the effectiveness review screen. (Figure 34) Find the Item that requires an effectiveness review and click the pencil next to the Item ID.
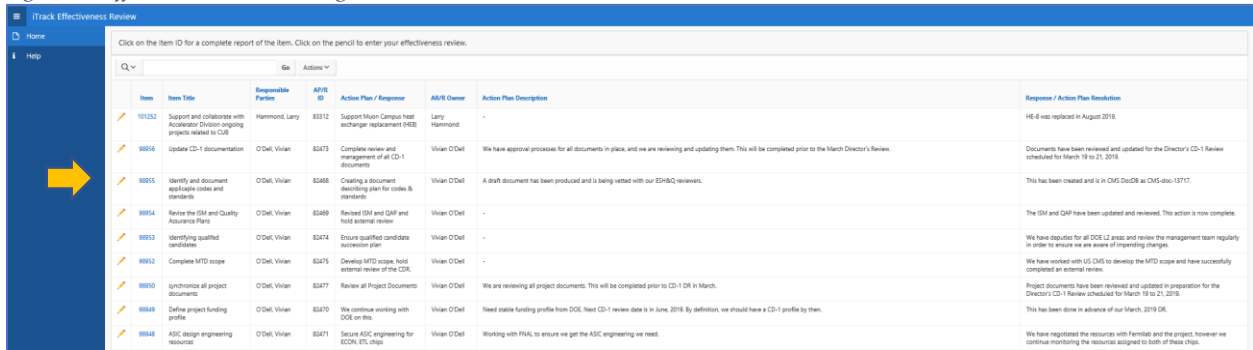
Figure 34 Effectiveness Review Page

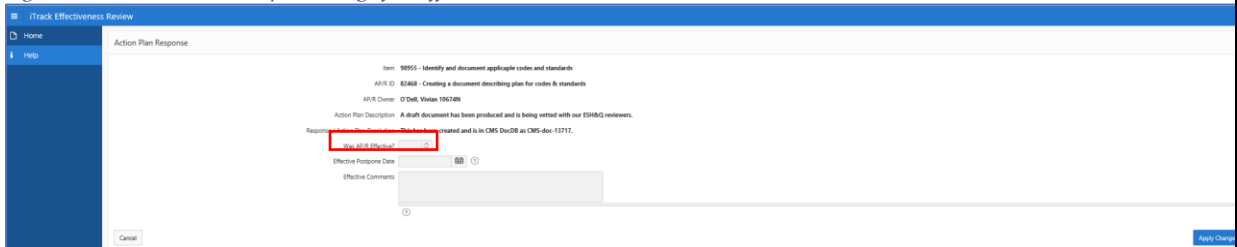Action Plan Response screen (Figure 35a) will open.

Steps to Complete Effectiveness Review in Action Plan Response Record (Figure 35a)
Item, AP/R ID, AP/R Owners, Action Plan Description, Response/Action Plan Resolution will be pre-populated. Complete the following.

1. **Was AP/R Effective** – Select Yes, No, or Defer
2. **Effective Postpone Date** – Complete only if "Defer" was selected in step 1.
3. **Effective Comments** – Required if AP/R not effective or deferring. Describe the reason for the decision.
4. Click Apply Changes

The itrack Effectiveness Reviews page will open with the green "Action Process" confirmation box. *Note: If the effectiveness review result was the AP/R was* not effective, *the Item will automatically re-open. This will be noted in the green confirmation box (see Figure 35b).*

Figure 35a Action Plan Response Page for Effectiveness Review

Figure 35b Effectiveness Review result – Confirmation of Re-opened Item

9.2   Verification Review

Once a quarter, iTrack generates mandatory verification reviews for closed nonconformances assigned a Risk Code of 1 or 2, and randomly selected samples of Risk Code 3. Corrective actions are verified as effective or ineffective. Quality Section or ES&H DSOs conduct the verification reviews. iTrack sends an email with a link to the verification review page (Figure 36) to the QS staff or DSO, notifying them of the required review.

Click on the pencil next to the Start Date to access the record.

Figure 36 Verification Review Page

Figure 37 will open. Find the Responsible Organization and click on the pencil.

Figure 37 iTrack Samples – Organization

Figure 38 will open. Find the Item and click on the pencil next to the Item ID. Figure 39 will open.
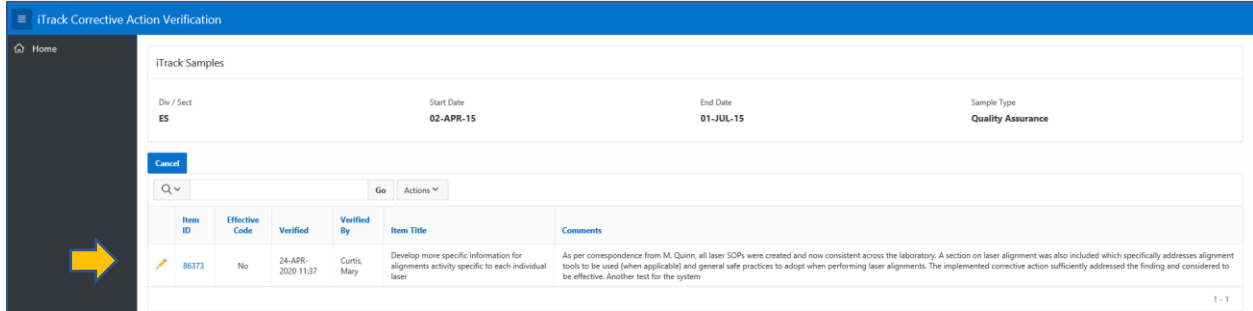
Figure 38 iTrack Samples – Item

Steps to Complete Verification (Figure 39)

Finding, Title, Description, Risk and Corrective Action will pre-populate. Complete the remaining steps.

1. *** Effective**– Select Yes or No
2. *** Comments** – Record information about the implementation of the corrective action.
3. Click Apply Changes.

Figure 39 iTrack Samples page – Verification Review

TECHNICAL APPENDIX

iTrack Terms

Causal Analysis [1] – a way to uncover the underlying causes of a problem.

Review Category Groups with associated Categories [2]

Assessments

1. **D/S/Project Self Assessment** – an assessment conducted entirely by D/S/P personnel and reported internally to the D/S/P leadership.
2. **Independent Assessment –** an assessment conducted by external or internal parties unrelated to the work or processes being evaluated.
3. **Management System Self-Assessment** – an assessment performed by a Management System Owner of their Management System against a procedure or requirement.
4. **QA Assessment** – an assessment conducted by the Quality Section against a specified procedure, requirement, or standard.
5. **SDSTA** – South Dakota Science and Technology Authority
6. **Triennial**
7. **Tripartite** – an assessment performed and planned jointly by a D/S, the ESH Section, and FSO and led by a member of the assessed organization.

ES&H Activities

1. **ES&H Drill**
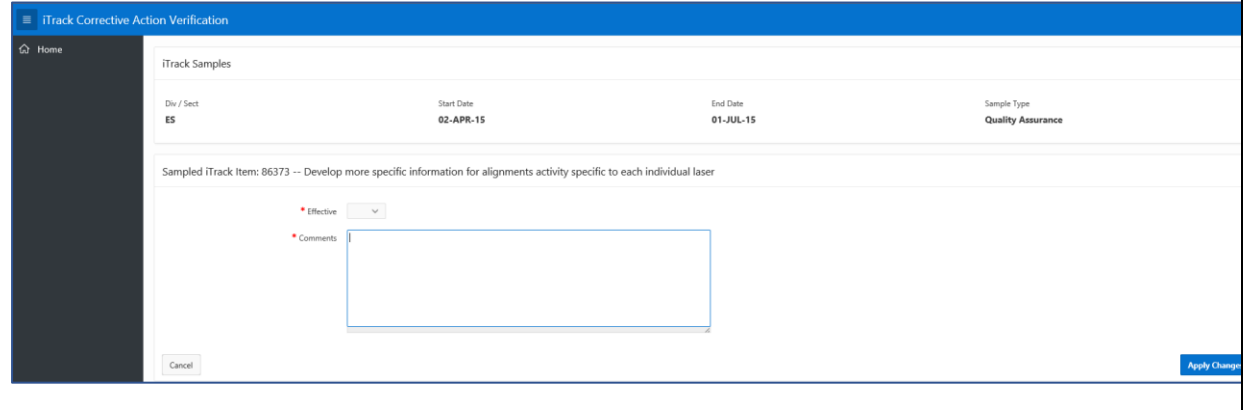2. **ES&H Walkthrough/Inspection** – an examination of a work area for the purposes of determining compliance to a specified requirement or standard.
3. **Management Walkthroughs** – a less formal assessment conducted by senior managers.
4. **Predictive Solutions** – ES&H database used to capture observations in the field for construction safety and facility safety.
5. **RCRA Inspections (Haz Waste Storage Fac)** – Resource Conservation and Recovery Act.

External Review

1. **DOE Review** – review planned and conducted by the Fermi Site Office (FSO).
2. **External Regulator**
3. **Financial Review**
4. **ISO** – International Standards Organization

5. **Internal Audit** – an independent office that conducts audits and provides guidance regarding internal controls.
6. **National Science Foundation Review**
7. **Science and Technology**

Incidents or Events
1. **CAIRS** – Computerized Accident Incident Reporting System
2. **General Incident or Event Near Miss**
3. **NTS** – Noncompliance Tracking System
4. **ORPS** – Occurrence Report and Processing System
5. **ORPS/NTS**
6. **Suspect/Counterfeit Item**[4] – an item identified through visual inspection, testing, or other means that does not appear to conform to established Government or industry-accepted specifications or national consensus standards. A counterfeit item is one that has been copied or substituted without authority to do so or one that has been knowingly misrepresented.

Internal Laboratory Activities
1. **Accelerator Advisory Committee Review**
2. **Accelerator Readiness Review (ARR)**
3. **FRA/CAS Review**
4. **Operational Readiness Clearance (ORCs)**

PEMP Activities
1. **Notable Outcome**
2. **PEMP Feedback**

Project Activities
1. **DOE Project Review**
2. **Director's Review**
3. **EVMS Certification**
4. **Project Design/Readiness Review**
5. **Project Self-Assessment**
6. **Supplier Audit**

Items [3]

Best Practice – Method or technique that has consistently shown results superior to those achieved with other means, and that may be used as a benchmark.

Requirements:

- Best Practices entered into iTrack do not require a root cause to be identified
- Best Practices do not require any Corrective/Preventive Actions or Responses
- They are entered into iTrack to be shared for information only

Lessons Learned – A best practice that is captured and shared to promote repeat application, or an adverse work practice or experience that is captured and shared to prevent recurrence.

Management Concern – An issue that management has identified as a concern requiring actions mitigate risk associated with issue.

    Requirements in iTrack:
- Perform Risk Analysis
- Identify root cause (through Causal Analysis or HPI)
- Corrective or Preventive Actions identified

Nonconformance – The nonfulfillment of a specified requirement.

    Requirements in iTrack:
- Perform Risk Analysis
- Identify root cause (through Causal Analysis or HPI)
- Corrective or Preventive Actions identified

Opportunity for Improvement – Suggestions identified on how to improve the identified topic.

    Requirements in iTrack:
- Response is required
- Risk Analysis is Optional
- Does not require a root cause to be identified

Recommendation – A suggestion or proposal from the Reviewer as to the best course of action to be taken on an identified topic. *This term is typically reserved for DOE or project reviews.*

    Requirements in iTrack:
- Response is required
- Risk Analysis is Optional
- Does not require a root cause be identified

References

1. QAM Chapter 12050 *Root Cause Analysis*
2. QAM Chapter 12030 *FQTS Procedures and Risk Assignment*
3. QAM Chapter 12080 *Fermilab Assessment Program*
4. QAM Chapter 12020 *Suspect/Counterfeit Item (S/CI) Program*
5. [IMPACT User Guides](#)